

Optimizing the Staffing Decision

A Proposed Decision Model for
Force Optimization and Training Branch Use



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Chapter 1.

The Need to Optimize Staffing

The Coast Guard is under increasing pressure to sustain current levels of service with fewer military and civilian workers. The Service is working to prioritize its missions in an attempt to better allocate its human resources. However, a management solution that prioritizes missions and physical capital, but neglects ways to better leverage the active, Reserve, civilian, and Auxiliary components, may not achieve the desired savings or level of effectiveness. An overview of the Coast Guard provides the backdrop against which to consider an integrated approach to managing Coast Guard human resources.

The Role of the FOT in Optimizing Staffing

From the perspective of *human resource management*, the centerpiece of the Coast Guard's most recent restructuring was the establishment of the *Force Optimization and Training Branch* (FOT). Conceived as a tool to manage an integrated force of active and Reserve component personnel, the FOT was effectively designated the human resource management consultant to the operational Coast Guard. Its mission is best defined as follows.

The Force Optimization and Training Branch will balance the need for integrating processes, cross mission and workforce optimization, and Reserve program management. This Branch is an entity to examine the use of the district's total workforce (i.e., active, civilian, reserve, and auxiliary) without the distraction of providing routine services. The Force Optimization and Training Branch lays the ground work to maximize personnel resources and training opportunities. It also positions higher level, human resource planning functions to evolve to a broader district planning view in the future.¹

To a casual observer, such a goal would seem sensible, not revolutionary: surely the Coast Guard could reap substantial savings by leveraging the best of each component to meet the myriad of Coast Guard missions. But "revolutionary" aptly describes what the FOT mission is all about.

With the integration and streamlining of active and Reserve administrative processes, FOTs were expected to focus on more strategic concerns, while acting on a few remaining, Reserve-specific management issues. However, two circumstances have limited the use of the FOT as a strategic human resource planner.

First, the Coast Guard does not have a human resource management tradition. Until the unveiling of active and Reserve force integration under the "Team Coast Guard" concept in 1994, the Service's presence in *human resource management* was limited to administration and training functions. Second, a residual of servicewide streamlining was the reduction of staffing in support functions, especially in personnel administration. Today, the ten FOTs are forced to rely on fewer workers to respond to increasing demand for service. In short, FOTs lack the tools needed to make the "higher level, human resource" decisions called for by force integration.

One such tool is a decision support methodology that will allow FOTs to optimize staffing of Coast Guard commands. A focus on staffing is important because of the long term effects the staffing decision has on other human resource activities (e.g., compensation, training requirements, etc.). Consistently derived staffing decisions will not only improve operational effectiveness, but they will also improve the effectiveness of human resource planning, programming, budgeting, and forecasting processes.

This report proposes a model staffing framework for use by FOTs; the model applies to the long term staffing of Coast Guard facilities, as well as medium term staffing of special operations involving personnel from multiple Coast Guard commands. This model is premised on the belief that optimal staffing is a function of resource *capability*, *availability*, and *cost*.

¹ _____, (U.S. Coast Guard), *Integration of District Readiness and Reserve Division Functions into Other Staff Elements*, COMDTINST 5400.21, para. 5.a.(4).

- Capability. This factor addresses the skills that a military billet or civilian position requires, and what skills each component contributes to satisfy mission requirements. (NOTE: *Billet* is the word that describes a job vacancy authorized for fill by active or Reserve component members only; billets specify the location, pay grade, and occupational specialty of the job vacancy. *Position* is used to describe job vacancies authorized for fill by civilian employees only.)
- Availability. Availability incorporates the Service's ability to obtain these skills from the labor force, the duration of a worker's availability for duty, and the number of people required.
- Cost. For costs, this analysis uses standard personnel costs (SPCs) to account for the direct and indirect costs of maintaining each component. These are the costs that enable the Coast Guard to recruit, train, assign, employ, transfer, and separate members of each component.

This report relies on a contextual analysis of the Coast Guard, as well as on the profile of each of the four workforce components. The report concludes with the proposed model.

Brief History of the Coast Guard

Origins

The Coast Guard traces its official establishment from August 4, 1790, when an act of Congress authorized President Washington to build a fleet of "so many boats or cutters, not exceeding ten, as may be necessary to be employed for the protection of the revenue."² The Revenue Marine, as it was known, represented the only naval presence in the post-revolutionary era until the establishment of the Navy Department in 1798.³

From the stand point of history, however, the origins of the Coast Guard are far more diverse. The Coast Guard is in fact an amalgam of no fewer than five separate agencies: the Revenue Marine, the U.S. Lifesaving Service, the Lighthouse Service, the Steamboat Inspection Service, and the Bureau of Marine Inspection and Navigation.⁴ In short, the Coast Guard prides itself on its 200 year tradition of multi-mission service, a testament to its motto: "Semper Paratus - Always Ready."

With its law enforcement and naval legacies firmly rooted in the legislation of 1790, the Coast Guard's heritage in navigation safety dates back even farther, with the erection of a lighthouse at the entrance to Boston harbor in 1716.⁵ Congress would later establish the U.S. Lighthouse Service from the collection of lighthouses that began to dot the entire coastline. In the mid-Nineteenth Century, when boiler explosions on steam driven vessels forced an alarmed Congress to act, the Steamboat Inspection Service was established to ensure U.S. compliance with new vessel safety standards. In 1871, Congress funded the Lifesaving Service, which operated a chain of coastal rescue stations with a force of paid crewmembers.⁶ Between 1915 and 1946, Congress consolidated these agencies and resources into what is now the U.S. Coast Guard.

² Johnson, Robert, *Guardians of the Sea: History of the United States Coast Guard 1915 to the Present*, pg. 1.

³ Engle, Eloise and Arnold S. Lott, *America's Maritime Heritage*, pp. 82.

⁴ _____, (U.S. Coast Guard), *1996 Coast Guard Fact File*, pp. 75-77.

⁵ Eloise & Lott, op cit., pp. 20.

⁶ Bennett, Robert F., *The Coast Guardsman's Manual* (7th ed.), pp. 8.

History of Critical Incidents

Congressional legislation and administrative regulation often follow critical incidents in which lives, property, or the environment are impacted. The 200 year history of the Coast Guard is marked by a number of incidents that were followed by increased Service tasking. For the Coast Guard, this phenomenon has produced an accumulation of missions – missions that frequently are assigned without a corresponding increase in resources.

Table 1 illustrates the leading incidents that have shaped the Coast Guard. The table cites legislation enacted as a result of those incidents, and the resulting impact on the Coast Guard.

Table 1 - Critical Incidents in the History of the Coast Guard

Year	Incident	Legislation	Coast Guard Mission/Impact
1600s-1700s	Vessel groundings/sinkings at the mouth of Boston harbor result in establishment of a light in 1716.	No federal legislation until 1789; local government and private interests create a series of lighthouses.	Lighthouse Establishment created in 1789.
Before 1838 1830 1830 1832 1833 1837 1837 1838 1838 1838	230 marine incidents involving the loss of life on board steam powered vessels, including: HELEN MCGREGOR (explosion) JUSTICE MARSHALL (explosion) BRANDYWINE (fire) ST. MARTIN (fire) BEN SHERROD (fire) MONMOUTH (collision) MOSELLE (explosion) ORONOKO (explosion) PULASKI (explosion)	<u>Steamboat Act of 1838</u> Required: - periodic boiler and hull inspection; - fire fighting equipment on board; - lifesaving equipment on board; - vessel to be operated by “competent” pilots and engineers. Federal judges appoint inspectors. Program administered by Treasury Department.	Inspectors examine steam boilers every 6 months. Inspectors issue a Certificate of Inspection attesting to vessel seaworthiness.
1852	7 incidents involving steamships claim 600 lives in 8 months prior to passage of legislation.	<u>Steamboat Act of 1852</u> Supervising inspectors assigned to each of nine inspection districts. Licensed marine pilots and engineers. All phases of steamboat construction and operation subject to monitoring.	Intensified inspections and inspectors added.
1861	Southern states secede from the Union.	Union imposes a naval embargo on Confederate states.	Revenue Cutter HARRIET LANE fires on NASHVILLE, which attempts to enter Charleston, SC – first shot, fired in Civil War.
Late 1850s to Late 1860s	Increasing loss of life due to steamboat explosions, fires, collisions, and sinkings, including the on board explosion, fire and sinking of the SULTANA, resulting in the loss of 1,450 people.	<u>Act of 1866</u> Provided for safety and accommodations of passengers. <u>Act of 1871</u> Replaced existing legislation with tougher provisions. Steamboat Inspection Service (SIS) established. Investigation of marine casualties. New licensing standards for pilots, masters and mates. Vessel operations managed by establishment of navigational “Rules of the Road”. <u>Act of 1874</u> Placed SIS enforcement provisions into Title 52 of the Revised Statutes.	SIS established, with a Supervising Inspector General located in Washington, DC plus and an increase in the number of inspectors. Intensified inspections of steamboats. Inspectors investigate marine incidents involving alleged acts of misconduct or negligence. SIS compiles casualty data used to choose search and rescue station sites.

		Masters required to report accidents and deaths involving their vessels.	
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Year	Incident	Legislation	Coast Guard Mission/Impact
Before 1910	Numerous instances of life and property loss involving small boats shorter than 65 feet in length.	<u>Motorboat Act of 1910</u> Required: - Licensing of operator. - Presence of life preservers. - Inspection of machinery and lights.	SIS inspects motorboats for compliance with safety standards.
1912	TITANIC collides with an iceberg in the North Atlantic and sinks with the loss of 1,517 lives.	Secretary of the Treasury orders the Revenue Cutter Service to conduct ice patrols. <u>International Convention Relating to the Safety of Life at Sea (SOLAS)</u> Ratified into U.S. law. Required: - Radio operator watches. - Lifeboats and lifeboat crews for all on board passengers and crew. - Watertight compartmentation in vessel design. International Ice Patrol established.	Revenue cutters SENECA and MIAMI patrol North Atlantic shipping lanes in 1913 and broadcast iceberg sightings and locations. U.S. Coast Guard (newly formed from the Lifesaving Service and the Revenue Cutter Service) operates the International Ice Patrol. SIS inspects vessels for compliance with SOLAS provisions.
1914	EASTLAND sinks with loss of 812 people.	<u>38 Stat. 765</u>	SIS issues excursion permits. Supervising inspectors may limit passenger capacity.
1916	Ammunition-laden barges explode at Black Toms Island (New York Harbor). Shock waves felt over 100 miles away; vicinity of blast devastated. Sabotage suspected.	<u>Espionage Act of 1917 (50 U.S.C. 191)</u> Established Coast Guard Captain of the Port with broad powers to safeguard national security.	In a national emergency, the Coast Guard Captain of the Port is authorized to control movements of people, vehicles, and vessels anywhere within the port area. Coast Guard initiates Port Security Card Program to limit access to authorized workers in the port area.
1919-1933	Prohibition (authorized by the Eighteenth Amendment; repealed by the Twenty-first Amendment).	<u>Volstead Act</u>	Coast Guard attempts to prevent smuggling of alcohol; termed a "shooting war" by some historians.
1929	International Loadline Convention prescribes freeboard standards to ensure vessel stability.	<u>45 Stat. 1482 (1931)</u> <u>49 Stat. 888 (1935)</u>	SIS adds loadline enforcement to inspection protocols.
1930s	Recreational boating increases significantly.	<u>14 U.S.C. 821</u>	Coast Guard Reserve is established to assist the Coast Guard in public education and operational support. (Forerunner of CG Auxiliary).
1932	--	Congressional ratification of International Whaling Convention signed. Northern Pacific Halibut Act	Coast Guard mission to protect marine resources greatly expanded (though mission dates back as far as 1820).
1934	MORRO CASTLE sinks, 89 passengers and 35 crew die as ship's crew is unable to extinguish fire.	<u>49 Stat. 1380</u>	Bureau of Marine Inspection and Navigation formed from SIS successor "Bureau of Navigation and Inspection Service". BMIN reviews vessel design and construction; investigates marine casualties specifically to prevent

			recurrence; authorized to revoke merchant mariners' licenses and documents.
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Year	Incident	Legislation	Coast Guard Mission/Impact
1933-1934	Icing in U.S. ports and rivers delays delivery of home heating fuel.	<u>Presidential executive order.</u>	Designated lead agency for icebreaking; Navy arctic icebreakers transferred to the Coast Guard in 1965.
1939	Lighthouse Service transferred to the Coast Guard in 1939.	<u>Presidential order.</u>	Coast Guard assumes responsibility for maintaining 29,000 aids-to-navigation.
1939-1941	U.S. military forces expand to counter the anticipated threat of war with the Axis powers.	<u>Coast Guard Reserve and Auxiliary Act of 1941</u>	Established Coast Guard Reserve as a military force to augment the active component; reestablished existing Coast Guard Reserve as the Coast Guard Auxiliary.
1940	U.S. considers safe movement of hazardous cargo.	<u>Dangerous Cargo Act of 1940</u>	Coast Guard inspects dangerous cargoes for carriage, stowage & packaging regulatory compliance.
1942	President consolidates economic and administrative resources for World War II.	<u>E.O. 9083 as authorized by the War Powers Act</u>	Bureau of Marine Inspection and Navigation is transferred to the Coast Guard.
1942	Navy requests Coast Guard assistance in developing radionavigation system for vessel & aircraft navigation, as well as precision bombardment.	--	40 year involvement with development and operation of Long Range Aid to Navigation (LORAN) system.
1944	Admiral Waesche, then-Commandant, observes a demonstration of precision maneuvers by two helicopters.	Chief of Naval Operations directs the Coast Guard to develop the helicopter for naval use.	Coast Guard reliance on helicopter aviation for at-sea rescue begins.
1947	Texas City Disaster: ammonium nitrate on GRANDCAMP explodes, killing 500, razing 200 sq. city blocks.	<u>50 U.S.C. 191, as amended by the Magnuson Act</u>	Upon presidential finding of a threat to port security, the Coast Guard is authorized to take whatever action is necessary to safeguard U.S. ports without declaration of a national emergency.
1950	U.S. perceives heightened safety and security threat in U.S. ports due to Korean War and East-West tensions.	<u>E.O. 10173, as amended</u>	
1956	--	<u>33 CFR 126</u>	Assigns Coast Guard as the lead coordinator for SAR response in the maritime region of the United States.
1965	Navy requests Coast Guard assets for service in Vietnam.	<u>National Search and Rescue Plan</u>	Coast Guard provides service-unique/domestic mission support in the deployed environment (port safety and security, aids-to-navigation, cutter support).
1966	President Johnson announces his intention to establish a cabinet-level department for transportation-related activities.	--	Shallow water expertise applied to Operation MARKET TIME efforts to interdict North Vietnamese supplies destined for communists operating in South Vietnam.
		<u>P.L. 89-670</u>	Coast Guard is transferred from the Treasury Department to the Department of Transportation.

1967	TORREY CANYON runs aground off the coast of Great Britain, resulting in a massive oil spill.	<u>Federal Water Pollution Control Act of 1972</u> – also known as the Clean Water Act. (Superseded the weaker Water Quality Improvement Act of 1970)	Coast Guard promulgates and enforces pollution prevention regulations for vessel and waterfront facilities that handle oil and hazardous substances.
1969	Oil well blow out in Santa Barbara, CA.	<u>Act for the Prevention of Pollution by Ships</u> Provides for the preservation of the seas and coastal environment from oil pollution.	Authorizes Coast Guard to investigate incidents and to levy civil penalties.
1978	International Convention for the Prevention of Pollution from Ships of 1973, as amended by the Protocol of 1978 (MARPOL 73/78).	<u>40 CFR 300</u> - also known as the National Contingency Plan	Mandates that the responsible party shall take necessary action for clean-up. Directs the Coast Guard, as the pre-designated <i>federal on-scene coordinator</i> in coastal zone, to coordinate contingency planning and response with local marine community. National Strike Force established; concept involved quick-reaction, deployable pollution response forces.

Year	Incident	Legislation	Coast Guard Mission/Impact
1969	SS BADGER STATE, fully laden with ammunition, is lost at sea with the loss of half her crew.	<u>Ports and Waterways Safety Act (PWSA)</u>	Increased monitoring of hazardous cargo shipments.
1970	USS YANCEY strikes Chesapeake Bay Bridge.	Port and Tanker Safety Act of 1978 Expanded PWSA regulation of vessels carrying oil and hazardous materials in bulk.	Authorization to inspect vessels specifically for compliance with pollution and safety regulations.
1971	OREGON STANDARD and ARIZONA STANDARD collide, releasing 800,000 gallons of oil into San Francisco Bay.	<u>40 CFR 300</u>	Authorization to conduct harbor patrols, facility inspections, and facility surveys, as well as to control vessel movements and to establish limited access areas.
1976	ARGO MERCHANT grounds southeast of Nantucket with a cargo of 7.5 million gallons of petroleum; vessel broke up and sank.		Vessel traffic services established.
1970-1980	Public concerns aroused over nonpetroleum pollutants.	<u>Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA)</u> <u>40 CFR 300</u>	Expands Coast Guard authority to regulate, implement preventive measures, and respond to pollution incidents involving chemicals or suspected chemical substances.
1973	Mississippi River floods drive thousands from their homes throughout the Midwest.	<u>14 U.S.C. 712</u> Replaced 14 U.S.C. 764.	Involuntary Reserve recall authority for domestic emergency response.
1980	Over 100,000 refugees flee Cuba by sea ("Mariel Boat Lift").	<u>Presidential order authorizes Coast Guard to board vessels suspected of smuggling aliens.</u>	Coast Guard assumes new mission in mass alien migration interdiction.
1976	Commercial and environmental interest groups press for protection of marine resources out to 200 miles.	<u>16 U.S.C. 1861</u>	Authorizes the Coast Guard to jointly enforce fisheries regulations and laws in the Exclusive Economic Zone (with the National Marine Fisheries Service).
1985	Terrorists seize the cruise ship ACHILLE LAURO and kill an American passenger.	<u>33 U.S.C. 1226</u> - a section of the PWSA.	Authorizes the U.S. government to prevent and respond to terrorist acts against U.S. vessels anywhere, as well as any maritime terrorist act within U.S. jurisdiction. Authorizes port security/antiterrorism contingency planning and training.
1989	EXXON VALDEZ runs aground off Valdez, AK; releases 10.8 million gallons of oil into Prince William Sound.	<u>Oil Pollution Act of 1990 (OPA 90)</u>	Scope and intensity of prevention and response efforts substantially expanded.
1990	Saddam Hussein directs Iraqi forces to invade Kuwait.	--	New Port Security Units provide harbor defense and port security support of regional combatant commander. "Visit & search" inspections of commercial vessels to enforce UN embargo of Iraq. Marine environmental response assets employed to counter massive, intentional discharge of oil into the Persian Gulf.

Sources: _____ (U.S. Coast Guard), *Initial Indoctrination Lesson Plan Series - MS400* (undated).

_____ (U.S. Coast Guard), *1996 Coast Guard Fact File* (1996).

Bennett, *The Coast Guardsman's Manual* (1986).

Engle & Lott, *America's Maritime Heritage* (1975).

Johnson, *Guardians of the Sea: History of the United States Coast Guard - 1915 to the Present* (1987).

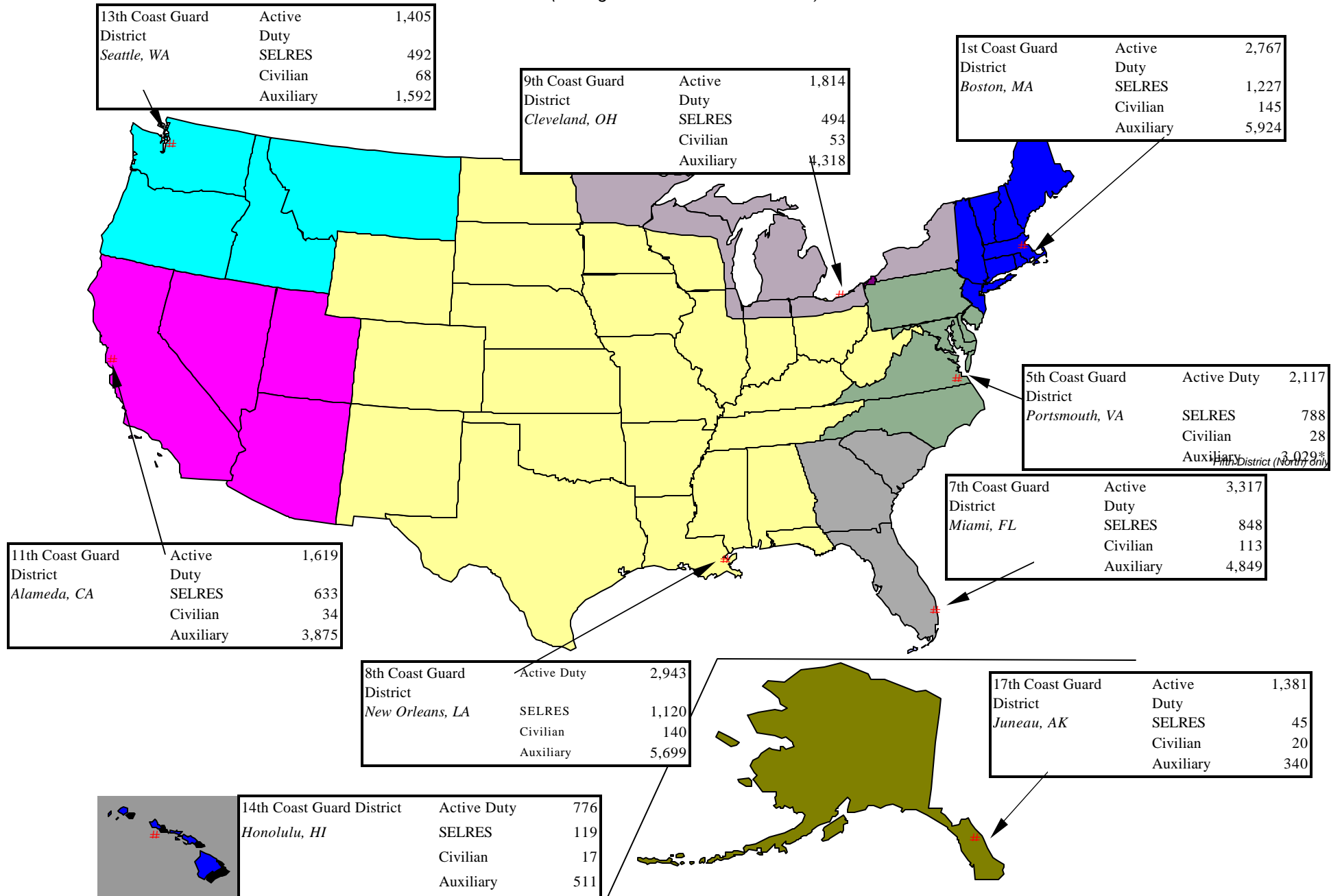
Present Day Organization

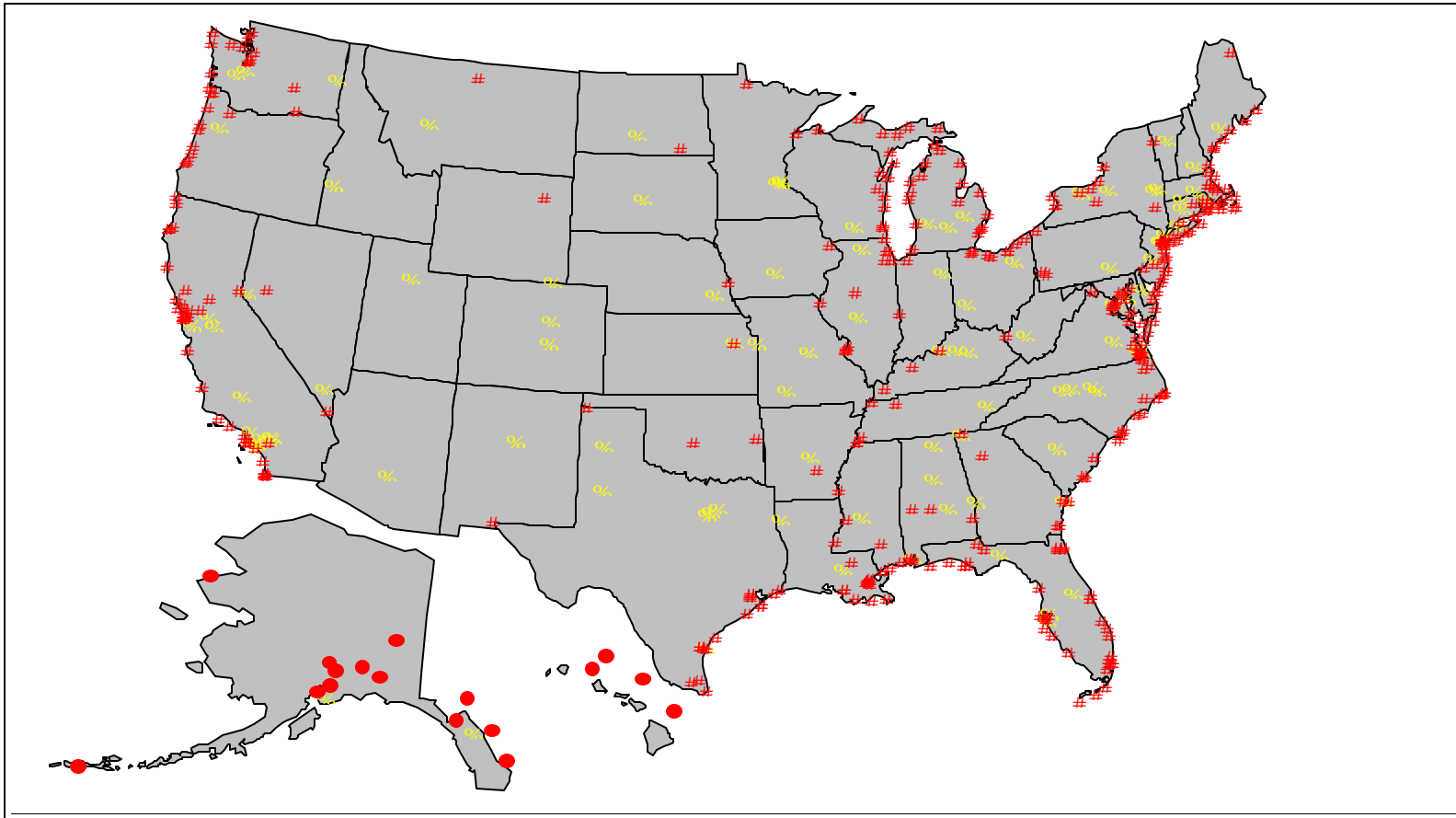
The Coast Guard is an operating agency of the U.S. Department of Transportation. The Service has grown into one of the world's largest navies, with a complement of 235 ships, 1,456 small boats, 293 aircraft, and a total force of over 87,000 paid workers and unpaid volunteers.⁷ See the distribution of human resources and Coast Guard operating facilities illustrated on pages 10 and 11.

The Coast Guard organizes itself around an operational chain of command and an administrative chain of command sponsored by Headquarters programs. The operational chain of command directs operations; the administrative chain of command provides resources, policy, and support.

⁷ Ship and aircraft data cited in *Jane's Fighting Ships: 1996-1997*, pp. 848-855.

Coast Guard Total Workforce, 11 July 1997 (Strength Levels - District Assets)





Coast Guard Facility Distribution
By OPFAC Count (excluding U.S. Territories)

● OPFAC
▲ U.S. City

Operations

The operational chain of command is led by two area commanders – Commander, Atlantic Area (Norfolk, VA) and Commander, Pacific Area (Alameda, CA) – who report directly to the Commandant of the Coast Guard. The operational chain of command directs Coast Guard forces, equipment, and facilities in the day-to-day conduct of Coast Guard missions. The areas are divided into nine districts (five in the Atlantic Area and four in the Pacific Area), with a Maintenance and Logistics Command located in each area to provide internal services such as personnel, legal, engineering, medical, and logistics support. Note that the Atlantic and Pacific Area Commanders serve the dual role of being the Fifth and Eleventh Coast Guard District Commanders, respectively. The largest vessels in the Coast Guard inventory – High Endurance Cutters (maximum cruising range of 14,000 miles) and Medium Endurance Cutters (maximum cruising range of 6,100 to 10,000 miles, depending upon the specific class of vessel) – are controlled by the Area staffs.

District commanders direct smaller vessels (most notably buoy tenders and patrol boats), and air stations equipped with fixed wing and helicopter aircraft. In addition, district commanders direct *Groups* and *Marine Safety Offices*. While the work of Groups and Marine Safety Offices is highly interdependent, consider these very simplified illustrations in visualizing the distinction between the two.

- *Groups* and their assigned units perform most of the Coast Guard's work hours in the search and rescue, law enforcement, and recreational boating safety missions. Groups and their subordinate units operate small boats, manage communications facilities, and maintain aids to navigation in the port area. Group units require skilled workers to interact with physical capital (patrol boats, small utility boats, and navigational aids) in performing their missions.
- *Marine Safety Offices* are the regulatory enforcement arm of the Coast Guard's extensive marine safety, security, and environmental protection missions (including regulatory compliance and pollution response). Marine Safety Offices rely on skilled workers to provide information and expertise to the public, especially public sector and commercial maritime interests. Marine Safety Offices manage the flow of traffic through the port, inspect commercial vessels for compliance with U.S. law, and direct the clean-up of marine pollution.

As noted above, Groups and Marine Safety Offices are interdependent. For example, the Group depends on the Marine Safety Office to establish by public rule a legally constituted limited access area, while the Marine Safety Office depends on Group boats and boat crews to protect the limited access area from intrusion. The Coast Guard has begun to pilot a new type of command known as a Commander, Coast Guard Activities, in which Group and Marine Safety Office functions are consolidated.

Programs

The Coast Guard requests and receives resources from Congress and the administration for the Service's eight operating and two support program areas. These programs are listed in **Error! Not a valid link.** below. *Operating programs* provide resources that directly serve the public; *support programs* satisfy the internal needs of the Coast Guard. Resources apportioned to the Coast Guard are controlled by the Chief of Staff. The Chief of Staff allocates these resources to *program directors*, who then redistribute the resources to field units.

Table 2 - Operating and Support Programs of the Coast Guard⁸

OPERATING PROGRAM AREA	OPERATING PROGRAM DESCRIPTION
Aids to Navigation	<ul style="list-style-type: none"> • Short Range Aids to Navigation • Radionavigation Aids • Vessel Traffic Services
Bridges	<ul style="list-style-type: none"> • Bridge Administration
Defense Operations	<ul style="list-style-type: none"> • Defense Operations
Domestic and Polar Ice Operations and Marine Science Activities	<ul style="list-style-type: none"> • Ice Operations
Law Enforcement	<ul style="list-style-type: none"> • Enforcement of Laws and Treaties
Marine Safety, Security and Environmental Protection	<ul style="list-style-type: none"> • Marine Environmental Protection • Marine Inspection • Marine Licensing • Port Safety and Security
Recreational Boating Safety	<ul style="list-style-type: none"> • Recreational Boating Safety
Search and Rescue	<ul style="list-style-type: none"> • Search and Rescue
SUPPORT PROGRAM AREA	SUPPORT PROGRAM DESCRIPTION
Reserve Training	<ul style="list-style-type: none"> • Reserve Training
General Support	<ul style="list-style-type: none"> • Major Systems Acquisition • Civil Rights • Command, Control and Communications/ Information Resource Management • Contingency Preparedness • Engineering and Logistics • Financial Management and Procurement • General Administration • Health Services • Intelligence • Investigations and Security • Legal • Personnel • Training • Public Affairs • Research and Development • Safety and Occupational Health

⁸ _____ (U.S. Coast Guard), *Planning and Programming Manual (Headquarters Manual)*, vol. I, COMDTINST M16010.1B, Table 2-1.

The process of requesting an increase in resources – either through the addition of resources or by reprogramming existing resources – is lengthy in part because resource decisions are tightly controlled by Congress and the administration (through the Office of Management and Budget and the Department of Transportation). The process map in Appendix I shows that it takes about three years for a resource to pass from the request stage to delivery.

With fixed budget constraints, resource issues are settled on a distributive or “fixed pie” basis, with little incentive for programs to give up a resource without realizing some sort of return. Regardless of individual program needs, the Chief of Staff ultimately decides how best to allocate resources in order to meet the strategic priorities of the Coast Guard.

Program directors act for the Commandant in managing their assigned programs; they are the focal point for transforming strategy into plans, programs, budgets, and program policy.⁹ Program directors are supported by *program managers* who execute necessary staff work and monitor field activities for compliance with program standards. The tasks of program managers generally align with the program descriptions listed in Table 2. Program managers communicate their priorities to the operational chain of command in the form of policy, and assign program representatives directly to Districts and Maintenance and Logistics Command staffs.

In addition, program directors sponsor a number of *headquarters units*, centers of technical excellence within a specific program. Examples include Coast Guard training centers, the Human Resource Services and Information Center (the centralized data warehouse for personnel administration), the Coast Guard Finance Center, and the Coast Guard Yard. While the number and composition of headquarters units is in flux due to recent streamlining efforts, the Standard Distribution List¹⁰ lists 23 headquarters units.

Budget Challenges for the Coast Guard

The accumulation of missions without a commensurate increase in resources, and a budget process that does little to encourage efficiency or cooperation underscore the primary concern of most public sector agencies: budget reductions.

Looking ahead to fiscal year 2002 (FY02), the projected balanced budget would provide \$4.129 billion for the Coast Guard. However, this budget target falls short of the \$4.622 billion that GAO estimates will be needed to meet the administration’s mission requirements. The GAO states that

the Coast Guard continues to rely heavily on its past strategy, which focuses almost exclusively on cutting costs through greater efficiency – that is, on providing all services at the same levels as before but doing so at less cost. While this strategy has yielded savings of about \$343 million, achieving OMB’s targets will be a much more difficult challenge.

The sheer size of the gap and the dwindling number of available efficiency-related options mean that in developing its plan for meeting OMB’s budget targets, the Coast Guard may have to reexamine its current focus of addressing efficiency measures alone. ...*the Coast Guard may have to consider measures that call for considerable change in its operating culture, such as changing its military rotation policy, or that stir public opposition, such as closing small boat stations (emphasis added).*¹¹

⁹ *Ibid.*, para. 2.B.5.

¹⁰ _____ (U.S. Coast Guard), *Standard Distribution List (No. 135)*, September 2, 1997.

¹¹ _____ (GAO), *Coast Guard: Challenges for Addressing Budget Constraints*, GAO/RCED-97-110, May 1997, pp. 3-4.

In other words, recent streamlining efforts have eliminated easily identified, discretionary budget items (often referred to as “low hanging fruit”). In order to achieve the savings demanded by the budget agreement between Congress and the Clinton administration, the next cuts must be aimed at people-related costs. Two items from GAO’s report make this clear.

First, in a FY97 budget of \$3.84 billion, \$1.62 billion was spent on employee-related costs – or 42 percent of the Coast Guard’s entire FY97 budget.¹² Second, a recommendation from OMB to cap discretionary spending would not apply to the largest budget category that carries mandatory increases: military pensions. GAO found that the cost of pensions accounted for over \$100M in the growth of the Coast Guard’s budget target from FY98 to FY02 (i.e., \$4.023 to \$4.129 billion, respectively).¹³

In 1993, the House Appropriations Committee directed the Coast Guard to examine its management and support structure and determine if the Service would benefit from greater use of civilians. The impetus for this action stemmed from GAO analysis of Department of Defense staffing. GAO stated that the DOD could save approximately \$15,000 per year per support position converted from a military billet to a civilian position. In its response to Congress, the Coast Guard confirmed the cost of the differential, but stated that “cost is not the only factor used to determine work force design and mix.”¹⁴ Among other things, the Coast Guard’s report explained that the difference between military and civilian personnel costs is the premium that must be paid for a “frontline, rapid-response capability in an operational environment.”¹⁵ It is likely that the question of military-civilian staffing mix will persist well into the future.

A different concern for the Coast Guard is the age of its capital base.

The Coast Guard is conducting a coastal zone mission analysis to determine what missions (and platforms to serve those missions) will be required to meet requirements within 50 nautical miles of shore over the next 25 years. This study was undertaken in large part because of the anticipated need to replace aging Coast Guard cutters and small boats. Table 3 estimates the average age of the Coast Guard’s mainstays – the 41-foot utility boat (average age 20 years) and the 44-foot motor lifeboat (average age 31.5 years).

Table 3 - Average Age of Coast Guard 41’ UTBs and 44’ MLBs

Type	Number	First in Class	Last in Class	Average Date	Avg. Age
41-ft. UTB	207	1973	1983	1978	20.0
44-ft. MLB	105	1961	1972	1966	31.5
<i>Number of Small Boats</i>	312	<i>Avg. Age (years)</i>			25.8

Source: *Asset Inventory Pages of the Coast Guard’s Agency Capital Plan*.

¹² *Ibid.*, pp. 14.

¹³ *Ibid.*, pp. 23.

¹⁴ _____, “Criteria for Staffing Decisions,” *Report to Congress on Civilians in Personnel Management Structure*, October 7, 1997. Cited via the Internet at <http://www.dot.gov/dotinfo/uscg/hq/reserve/cngindex.htm>.

¹⁵ VADM R. D. Herr letter 5730 to The Honorable Richard C. Shelby of June 26, 1997. This was the transmittal letter for *Report to Congress on Civilians in Personnel Management Structure*. Cited via the Internet at <http://www.dot.gov/dotinfo/uscg/hq/reserve/cngindex.htm>.

Table 4 estimates the average age of cutter hulls at 31.7 years – or, stated another way, most Coast Guard cutters were commissioned before most active duty members (average age of 28) were born.

Table 4 - Average Age of Coast Guard Cutter Hulls

Class	Type	Length (Feet)	Number	Cutter Commissioning Date			Avg. Age
				First in Class	Last in Class	"Average" Date	
Hamilton	WHEC	378	12	Feb-67	Mar-72	Aug-69	28.4
Storis	WMEC	230	1	Sep-42	Sep-42	Sep-42	55.4
Diver	WMEC	213	2	Feb-44	Nov-42	Jun-43	54.6
Famous	WMEC	270	13	Feb-83	Mar-91	Feb-87	10.9
Reliance	WMEC	210	16	Jun-64	Aug-69	Dec-66	31.0
Mackinaw	WAGB	290	1	Dec-44	Dec-44	Dec-44	53.1
Polar	WAGB	399	2	Nov-73	Jun-75	Aug-74	23.4
Bay	WTGB	140	9	Jan-79	Aug-88	Oct-83	14.2
Point "C"	WPB	82	27	Jan-61	Jan-67	Jan-64	34.0
Point "D"	WPB	82	8	Jan-70	Jan-70	Jan-70	28.0
Island	WPB	110	49	Feb-86	Jun-92	Apr-89	8.7
Juniper	WLB	225	2	Jun-96	Jun-97	Nov-96	1.1
Balsam	WLB	180	25	Jan-42	Jan-44	Jan-43	55.0
Keeper	WLM	175	1	May-96	May-96	May-96	1.7
Red	WLM	157	5	Apr-64	Jun-71	Oct-67	30.2
White Sumac	WLM	133	6	Jun-43	Aug-43	Jul-43	54.5
Bluebell	WLI	100	1	Sep-44	Sep-44	Sep-44	53.4
Buckthorn	WLI	100	1	Aug-63	Aug-63	Aug-63	34.4
Berry1	WLI	65	2	Jan-46	Jan-46	Jan-46	52.0
Berry2	WLI	65	2	Jan-54	Jan-54	Jan-54	44.0
WLR	WLR	75	15	Jan-60	Jan-70	Dec-64	33.0
WLR	WLR	75	2	Jan-90	Feb-90	Jan-90	8.0
Pamlico	WLIC	160	4	Jan-76	Dec-76	Jun-76	21.5
Cosmo	WLIC	100	3	Jan-44	Jan-44	Jan-44	54.0
Anvil/Clamp	WLIC	75	9	Jan-62	Dec-65	Dec-63	34.1
Harbor Tug	WYTL	65	11	Jan-61	Dec-67	Jun-64	33.6
47' MLB	MLB	47	6	Jan-94	Jan-97	Jul-95	2.5
Eagle	WIX	293	1	Jun-36	Jun-36	Jun-36	61.6
Number of Hulls			235	Avg. Age (years)			31.7

Source: *Jane's Fighting Ships 1996-97*, 96th ed., Jane's Information Group Limited,

The useful service lives of older cutters have been extended through various modernization programs, and a new class of 47-foot motor lifeboats is replacing the aging fleet of 44-foot boats. Even with these efforts, the Coast Guard understands that the budget will not support a one-for-one replacement of its aging fleet, and it has been revising its capital plan using OMB guidance issued in January 1997 accordingly.

Discussions involving the military-civilian staffing mix and capital replacement have overlooked ways to apply “soft technology” to better manage the most costly part of the Coast Guard budget: its total workforce.

In a predatory budget climate, government agencies implement both a *differentiation strategy* and a *low cost strategy*. As agencies chase increasingly scarce sources of funding, they pursue a differentiation strategy to demonstrate a “value added” to society in the form of services that they alone can provide. At the same time, government agencies pursue a *low cost strategy* by attempting to deliver more service at lower cost. For example, the Coast Guard’s effort to market its versatility and expertise in shallow water operations appears to pursue defense-related dollars that now favor low-intensity military missions such as expeditionary warfare and civil affairs.

Versatile, multi-mission trained personnel and multi-capable platforms represent the essence of the Coast Guard as an organization. This unique characteristic and comparative advantage allow the Coast Guard to provide the nation a wide range of maritime capabilities that are easily adapted to changing requirements.¹⁶

Without question a successful differentiation strategy seems desirable, but the concurrent, low-cost strategy will not work if it does not adequately address human resources on a more comprehensive scale.

In *Gaining and Sustaining Competitive Advantage*, Jay Barney writes that private firms that compete using a cost leadership strategy must integrate “soft technology” into their business plans if they want to be successful. (By *soft technology*, Barney means organizational development and human resource management tools).

Research in Japan, for example, suggests that while “hard technology,” including automation and robots, is an important component of low-cost manufacturing, “soft technology” such as the use of quality circles on the manufacturing floor, a sense of loyalty from the worker to the firm..., and an organizational culture that emphasizes cost control is just as important, if not more important, in explaining the cost position of some Japanese firms.... Work on so-called excellent U.S. firms also emphasizes the cost implications of these softer aspects of technology (Peters and Waterman, 1982)(sic). Firms that possess the right combination of technological hardware and software may enjoy lower costs even if they do not have scale or learning advantages over their rivals.¹⁷

Barney points out that a low cost strategy will reduce costs and improve competitive advantage if it implements the right “soft technology” at the lowest levels of the organization. For human resource management, this implementation of “soft technology” must occur at the level of the FOT. If the FOTs are adequately equipped, they can acquire and develop the mix of human resources capable of operating the advanced technologies of the 21st Century.

In order to accomplish their optimizing mission, FOTs must begin to consider all of the human resource assets at their disposal: the active component, the Coast Guard Reserve, the civilian workforce, and the Coast Guard Auxiliary.

¹⁶ Admiral Robert Kramek, Commandant of the Coast Guard, in *National Security and the U.S. Coast Guard: Wherever America Needs Us*, COMDTPUB 16011.1, pp. 3.

¹⁷ Barney, Jay B., *Gaining and Sustaining Competitive Advantage*, pp. 200.

Team Coast Guard: Profiling the Four Workforce Components

Each workforce component contributes something different to the rich mix of skills that the Coast Guard needs to improve its effectiveness. However, a single workforce attribute, taken in isolation, can distort the decision making process and sub-optimize the use of human resources. Hypothetical examples include the following.

- A division chief requests assignment of an experienced, mid-grade officer to serve as a program analyst. Did the division chief consider the shorter learning curve and longer tenure of civilian program analysts typically hired in that locale before deciding on the programming of a military officer?
- A budget planner located at Headquarters reviews accounting reports and concludes that a new job ought to be programmed as a civilian position rather than a military billet. The basis for the decision is forecasted accounting costs. Did the budget planner compare the length of time that it will take to hire a civilian employee with the time in which the Personnel Command could assign an active component member?
- A Group-level department chief identifies her best petty officer to conduct weekend environmental awareness training for the public. Has the department chief determined if Coast Guard Auxiliarists with a specialty in education are available instead?
- A supervisor at a Marine Safety Office is told that he can send one petty officer to resident training for a critically needed skill. Before he decides to send an active duty petty officer, has the supervisor balanced the readiness of the active component cadre with the longer tenure of reservists at that same command?

This paper does not suggest that an effective FOT is a substitute for the judgment of the Coast Guard leaders and managers. On the contrary, the paper suggests that an effective FOT should be able to present consistently well-informed alternatives for units and program managers to weigh in their staffing decisions.

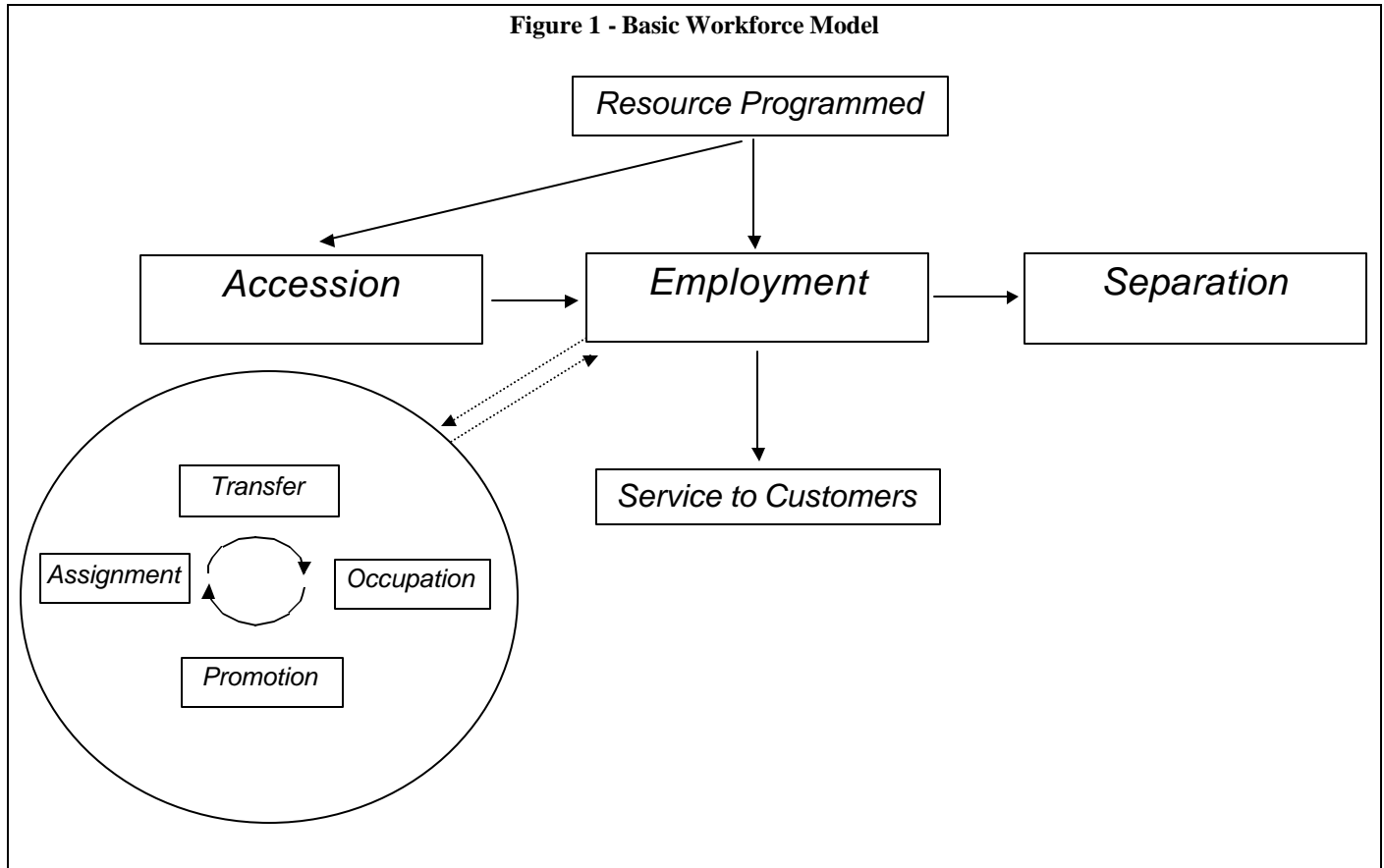
A Basic Workforce Model

In order to draw valid comparisons between human resource alternatives, this paper profiles each workforce component against six dimensions. The primary input to the staffing analysis would be the requirement to fill a job function; the primary output would be service to the public. **Error! Not a valid link.** illustrates the model; elements of the model are defined as follows.

- Disposition describes the general structure of the workforce component, the process by which workforce component resources are programmed, a summary of how strength is distributed across the organization (“administrative target units”) and a description of costs.
- Accession summarizes the business rules by which individuals are brought into the workforce component.
- Occupation describes the type of specialties represented in the component, and processes by which members are trained and attain qualification.
- Promotion summarizes the procedures used to elevate an individual from pay grade or level of status to a higher pay grade or level.

- *The assignment and transfer* process describes the business rules and considerations used to place a component member in a job.
- *Separation* describes the ways in which a member leaves active service in the respective component.

NOTE: The *employment* phase of the model in Figure 1 reflects the interdependence of four processes – initial assignment to duty, qualification in the job, promotion to the next grade, and inevitable transfer out of the job.



Component Profiles and Points of Analysis

Each component is profiled in the following chapters:

- Chapter 2. Active Component Profile.
- Chapter 3. Reserve Component Profile.
- Chapter 4. Civilian Component Profile.
- Chapter 5. Auxiliary Component Profile.

Chapter 6 identifies the primary decision criteria that should be considered when selecting the optimal staffing alternative.

Chapter 7 proposes a single dimensional value model to prioritize staffing alternatives.

Summary

In the past two centuries, the Coast Guard has grown into one of the world's largest navies, a multi-mission service that represents the maritime interests of the United States on a global basis. While it prides itself on its tradition of being "semper paratus," the Service's ability to handle an array of missions may yet in fact be the source of its undoing. Over the past 200 years, the American people have charged the Coast Guard with safeguarding maritime transportation, commerce, and the environment from an increasingly complex array of threats. The Service has accepted this accumulation of tasking – with and without the addition of personnel and physical capital to perform new missions. Today, the Coast Guard faces a widening budget gap between what it requires to sustain its varied missions and what the federal budget can afford. One way to achieve budget reductions while sustaining and improving service to the public lies in the integrated management of the total Coast Guard workforce: the active, Reserve, civilian, and Auxiliary components. This integration of human resource management process must occur at the lowest responsible level of the Coast Guard's human resource management hierarchy, the ten Force Optimization and Training Branch staffs located throughout the United States.

This paper will first explore the processes by which the four components are managed, starting with the Active Component.

Chapter 2.

Active Component Profile

Chapter 1 described the origins and status of the Coast Guard, and made the case for adopting a more integrative approach to human resource management. This chapter addresses the Active Component, whose 34,000 members comprise the core of the Coast Guard's response capability.

Disposition

Structure & Personnel Categories

An inherent characteristic of a traditional military organization is the notion of a promotion pyramid: the most senior person commands the greatest number of resources, and works through a few, immediate subordinates who further distribute guidance and resources to the next immediate level, and so on. Coast Guard ranks are identical to those of the U.S. Navy, and are distinguished in their appearance by the presence of a gold shield on the sleeve or shoulder board. See Table 5 for a listing of Coast Guard ranks. There are three general categories of military personnel, identified in ascending order of precedence: the *enlisted* workforce, *chief warrant officers* and *commissioned officers*.

The enlisted workforce is composed of three subcategories: non-rated personnel (“non-rates”), petty officers, and chief petty officers.

“Non-rates” are the “apprentices” of the Coast Guard; their time is devoted to preparing for advancement to the entry level journeyman rank of Petty Officer Third Class; obtaining initial qualification in one of 20 occupational specialties or “ratings;” and performing labor intensive tasks. Non-rates serve in pay grades E-1 to E-3.

“Petty officers” are personnel qualified in a specific rating. Enlisted personnel qualify in a rating either by (1) graduating from a basic rating school known as a Class A school, or (2) by learning the job performance requirements of a rating in an on-the-job setting (a practice known as “striking”). Rated personnel may request a change of occupational specialty (“lateral change in rating”); these lateral changes, however, are rarely approved for active duty petty officers. Petty officers are the equivalent of journeymen who attain positions of greater responsibility as they become more proficient in their rating.

“Chief petty officers” (CPOs) are both technical experts and supervisors at the same time. CPOs devote their time to supervising the development of their subordinates, particularly but not exclusively subordinates in the CPO’s respective rating. (In the early 1990s, then-Commandant of the Coast Guard Admiral William Kime initiated a policy that stated that CPOs – regardless of their respective ratings – serve and should be assigned primarily as mentors and supervisors.) CPOs, particularly those in the rank of Senior Chief Petty Officer and Master Chief Petty Officer, may compete for command assignments as “officers-in-charge” of stations, small cutters, recruiting offices and other small Coast Guard units.

Table 5 – Rank Structure of the U. S. Coast Guard

Category	Sub-category	Pay Grade	RANK
ENLISTED	Non-Rated Personnel	E-1	Seaman Recruit
		E-2	Seaman Apprentice
		E-3	Seaman
	Petty Officers	E-4	Petty Officer Third Class
		E-5	Petty Officer Second Class
		E-6	Petty Officer First Class
	Chief Petty Officers	E-7	Chief Petty Officer
		E-8	Senior Chief Petty Officer
		E-9	Master Chief Petty Officer
WARRANT OFFICER		W-2 ¹⁸	Chief Warrant Officer (Second)
		W-3	Chief Warrant Officer (Third)
		W-4	Chief Warrant Officer (Fourth)
COMMISSIONED OFFICER	Junior Officers	O-1	Ensign
		O-2	Lieutenant Junior Grade
		O-3	Lieutenant
		O-4	Lieutenant Commander
	Senior Officers	O-5	Commander
		O-6	Captain
	Flag Officers	O-7	Rear Admiral (Lower Half)
		O-8	Rear Admiral (Upper Half)
		O-9	Vice Admiral
		O-10	Admiral

Chief warrant officers (CWOs) combine the technical expertise of enlisted ratings with leadership and management abilities. CWOs are distinguished by occupational specialties in assignments, but compete for promotion with all CWOs of the same rank.

Commissioned officers enter on extended active duty by completing pre-commissioning training and graduating from the Coast Guard Academy, Officer Candidate School or the Direct Commission Officer Program. In addition, Reserve officers not on active duty may request assignment to extended active duty from their assignment in the Ready Reserve. In the Coast Guard lexicon, the terms “active duty officer” or “regular officer” refer to commissioned officers who are assigned a signal number on the Coast Guard’s Active Duty Promotion List (ADPL). Officers serving on a full time basis – regardless of their commissioning source or status -- are placed on the ADPL, including officers recalled to active duty from retirement.¹⁹

¹⁸ The Coast Guard does not offer commissions at the rank of Warrant Officer (pay grade W-1); entrants to the Warrant Officer corps are commissioned as Chief Warrant Officer Second Class (pay grade W-2).

¹⁹ Notable exceptions include the Permanent Commissioned Teaching Staff of the Coast Guard Academy (20 officers), Reserve Program Administrators (70 officers), and Public Health Service officers serving with the Coast Guard (157 officers).

Programming Process

Billets are assigned to individual operating facilities (OPFACs) as identified on the Coast Guard Personnel Allowance List (PAL). A proposal to obtain additional billets normally takes three to five years; the request process is outlined in Appendix I. Proposals that succeed, resulting in additional billets or in the reprogramming of existing billets, are ratified when a “Personnel Allowance Amendment” is entered into the PAL database.

PAL contains the following information:²⁰

1. Unit Operating Facility (OPFAC) numbers, published in COMDTINST M5440.2(series). The unit may be further specified with a “modifier” code and “organization” code.
2. Unique “billet control number” similar to the civilian “position control number.”
3. Officer Billet Code (OBC), as published and defined in COMDTINST M5320.7(series).
4. Appropriation data is assigned to each billet or position to identify the applicable accounting fund.
5. Program codes to identify various programs that have “vested interest” in budgetary or reprogramming considerations.
6. A sponsor code to identify the major program responsible for the recurring costs of the billet.
7. Source information to indicate origin (i.e. budget, reprogramming, reimbursable, etc.) and fiscal year which it was obtained.
8. Tour information identifies a standard duty tour length or other dates that may indicate a program review after completion of a project or reimbursable recovery date.
9. Date of last change reflects any modification of data.
10. Comment information may be assigned to describe characteristics not otherwise provided.
11. Military billets have training or qualification requirements assigned as prerequisite by program managers at Headquarters, or requirements of the local command not covered by program manager specification, and is maintained by the local command.
12. Civilian position classification codes.
13. “Deployment” code to indicate OUTCONUS, restricted, or other special detached duty that may be inherent to a particular billet or position.

²⁰ _____, (U.S. Coast Guard) *Personnel Resources and Civilian Employment Ceiling Manual*, COMDTINST 5312.13A, para. 1.E.

By law, a member of the active component is considered assignable for duty on a 24-hour basis. In practice, the planning process does not expect that an individual will perform duty 24 hours per day, 365 days per year. To address this point, the Coast Guard has identified three types of productive work activity (*duty*, *watchstanding* and *day work*²¹) and three standard workweek types (*military ashore*, *military afloat* and *civilians ashore*).²² Wartime staffing standards lengthen the 40-hour workweek ashore to 60 hours in the early phases of mobilization, and 48 hours in the later phases.²³

Distribution Across ATUs (Specialty/Pay Grade)

The active component workforce constitutes the core of the Coast Guard’s response capability throughout the United States and its territories. On July 18, 1997, the “on board” strength of the active component totaled 34,301 over its enlisted, chief warrant officer and commissioned officer ranks.

Enlisted	26,731
Chief Warrant Officer	1,529
Commissioned Officer	5,771
Total	34,031

Active component billets are controlled by the Coast Guard Chief of Staff who distributes them across the Coast Guard’s “administrative target units.” ATUs are designated units that receive funding directly from the Coast Guard’s Appropriation Managers; ATUs, in turn, control the use of these funds by their subordinate commands and activities.²⁴ In concert with this role as resource managers, ATUs also exercise limited control over the billets and people assigned to their respective areas of responsibility. There are currently 47 ATUs: 13 operational field commands, and 34 Headquarters-sponsored units.

Costs (Type & Expense Calculation)

At this point in the paper, it is necessary to identify two primary types of cost that are associated with the employment of active component personnel: *salary costs* and *personnel support costs*. The issue of “standard personnel costs” will be addressed in Chapter 6.

Salary Costs

Salary costs for the active component military workforce include basic pay and living allowances (P&A), bonuses, separation pay, clothing allowances, and FICA. Tab A reports the 1997 pay schedule; it is comprised of basic pay, basic allowance for quarters (BAQ), and basic allowance for subsistence (BAS). Active component wages also include a variable housing allowance (VHA) in addition to the basic allowance for quarters; VHA varies by locale.

Personnel Support Costs

Personnel Support Costs (PSCs) include the allocation of “overhead” to military billets and civilian positions (e.g., local and long distance phone usage, Coast Guard Standard Workstations II and III, and furniture fixture costs incurred in the start-up of a new facility). PSCs of particular relevance to this paper include the transportation and shipment of household goods (paid for by “AFC-20” funds), miscellaneous training and medical care.

²¹ _____, (U.S. Coast Guard) *Staffing Standards Manual*, COMDTINST M5312.11A, para. 1.C.

²² *Ibid.*, para. 1.D.

²³ *Ibid.*, 1.F.

²⁴ _____, (U.S. Coast Guard) *Accounting Manual*, COMDTINST M7300.4, Part II, para. 2-A-1.

Accessions

Enlisted Accessions

In the absence of conscription, the Service relies on the Coast Guard Recruiting Center (CGRC) and its force of recruiters to recruit throughout the United States and its territories. Eligibility criteria include:

- Age: 18 - 28 (up to 30 if the candidate has prior military service in pay grade E-4 and above); and

Waiverable up to age 40 in a very limited number of circumstances.
- Citizenship: U.S. citizenship; or

“Immigrant aliens” admitted to the U.S. for permanent residence and have no prior military service.

Resident aliens from certain countries are eligible only with CGRC approval.

Aliens are limited to occupational specialties (“ratings”) where a final SECRET security clearance is NOT required.

Fluency in English reading, writing and speaking.
- Good character.
- Homosexuality: While technically not a bar to eligibility, a candidate “shall be rejected” from enlistment if certain information is disclosed during the recruiting process (popularly referred to as the “Don’t Ask - Don’t Tell” Policy).²⁵
- Mental Acuity: High school diploma or GED.

Passing score on Armed Forces Occupational Qualification Test (AFOQT).
- Medical: No disqualifying medical conditions present.

Some conditions are not bars to entry, but can limit career assignment.
- Dependents: Applicants responsible for dependents may apply in some cases.
- Financial Obligations: Total debts must total 30% or less of the candidate’s projected pay and allowances.
- Documentation that verifies all eligibility criteria must be provided.

The following are criteria that disqualify a candidate for applying for enlistment. Interested candidates must document that the categorization no longer applies in order for their application to be considered:

- Candidate holds religious, moral or ethical views for which the candidate holds reservations about military service.

²⁵ _____, (U.S. Coast Guard) *Recruiting Manual*, COMDTINST 1100.2C, para. 3.C.8.b.

- Candidate holds religious beliefs that conflict with the principle of unrestricted service on a 24 hours per day/seven days per week basis.
- Conscientious objector.
- Candidate objects to bear arms in the enforcement of federal laws.
- Fear of being in, near or on the water.
- Pregnancy.
- Candidate is subject of pending court action.
- Candidate is in receipt of – or has a pending claim for – a pension, disability, allowance or disability compensation from the U.S. government on account of military service unless the candidate waives his right to this compensation.
- Conviction for a serious crime (including certain misdemeanors identified in chapter 8 of the Recruiting Manual).
- Awaiting trial or sentencing in a civil court.
- Candidate was pardoned for a disqualifying offense.
- Past or present confinement in a federal or state prison.
- Candidate is on probation or under other civil constraint.
- Release from incarceration is contingent or was obtained to become eligible for enlistment.
- History of delinquency including status as a *youthful offender* or *wayward minor*.
- Candidate was raised and housed in an institution having “correctional features.”
- Disqualifying medical condition or medical history.
- History of repeated use of a drug or chemical substance that shows a use and reliance that indicates a pattern of behavior (including attendance of a drug “rehab” program).
- Use of a chemical substance, other than as prescribed by a recognized health care practitioner, that has a stimulant, depressant or hallucinogen effect or potential for abuse (other than marijuana) within one year prior to an enlistment examination (21 U.S.C. 1308).
- Candidate holds a “no reenlistment” code from prior military service.
- Candidate concealed prior military service from the recruiter.

Recruits attend eight weeks of recruit training (“boot camp”) at Training Center (TRACEN) Cape May, NJ.²⁶ The objectives of recruit training are to “effectively indoctrinate and motivate recruits...(and to) develop job skills for

²⁶ Recruits who have served in branches of the military other than the Coast Guard or the Navy attend only four weeks. *Training and Education Manual*, COMDTINST M1500.10B, para. 2.A.1.

recruits.”²⁷ Recruit training provides the recruit an orderly transition from civilian to military life, and provides mandated training in the Uniform Code of Military Justice, civil rights, administrative procedures and regulations, career planning, military skills and basic leadership. It orients recruits to the culture and missions of the Coast Guard, and is intended to instill self-motivation, self-discipline and an appreciation for team effort. This initial training also tests recruits for mental, physical and emotional suitability. By satisfactory completion of prescribed terminal performance objectives, recruits graduate as Seaman Apprentices (pay grade E-2).

Warrant Officer Accessions

The Chief Warrant Officer (CWO) grade combines the technical expertise of the enlisted force with the leadership aptitude required of commissioned officers. The degree to which the service emphasizes occupational specialty over rank is the central source of tension in managing the warrant corps: is a CWO a super-technician or a junior manager? Each service defines the responsibilities and cultural status of the CWO, working within loose statutory authority to derive a role best suited to its requirements.²⁸ The small size of the Coast Guard and the specialized nature of its work complicate this task: the Coast Guard’s principle personnel manual defines the CWO’s role both ways. Contrast this statement emphasizing the CWO’s role as a commissioned officer with generalized responsibilities:

“CWOs are mature individuals with appropriate education and/or specialty experience who have shown, through demonstrated initiative and past performance, that they have the potential to assume positions of greater responsibility requiring broader conceptual, management and leadership skills. While administrative and technical specialty expertise is required in many assignments, *CWOs must be capable of performing in a wide variety of assignments which require strong leadership skills* (emphasis added). Enlisted and officer experience provide these officers a unique perspective in meeting the roles and missions of the Coast Guard.”²⁹

...with this statement that underscores the CWO’s technical expertise:

“Warrant officers in the Coast Guard are part of the officer corps. As such, they hold a unique organizational position. Warrant officers “fill the gap” between the enlisted corps and higher grade commissioned officers. *They are able to fully understand and communicate with the enlisted technician. Through understanding the requirements and problems of the enlisted technician, as well as, the management requirements of the general line officer, warrant officers form an essential communications link between higher grade officers and enlisted.* This communication, both up and down the chain, significantly contributes to the efficiency and effectiveness of the Service.”³⁰

Logically a Service policy that leaves this ambiguity between technician and manager unresolved may not have set a foundation sufficient for valuing the labor output of its CWOs.³¹

Each year, enlisted personnel in the ranks of Chief Petty Officer to Master Chief Petty Officer compete for promotion to Chief Warrant Officer.³² Accessions to the CWO corps originate from the enlisted Coast Guard only. Applicants

²⁷ *Ibid.*

²⁸ The distinction within the Coast Guard between CWOs and the rest of the military workforce is often blurred. The cultural identity in the U.S. Navy, the U.S. Marine Corps and the U.S. Army is more defined – by virtue of the number of CWO accessions relative to the overall size of the force, and by virtue of assignment. (The U.S. Air Force never adopted the CWO rank, relying instead on its senior noncommissioned officers. CWOs left on the rolls from the U.S. Army Air Corps retained their rank after establishment of the Air Force in 1947 and were allowed to retire).

²⁹ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 1.D.1.a.

³⁰ *Ibid.*, para. 5.B.2.a.

³¹ Note that this ambiguity also allows the Service flexibility in sizing its warrant force to meet either aggregate strength needs or to increase/decrease the size of individual warrant specialties.

are screened by a centrally convened panel that weighs the performance record of the candidate compared with his/her peers, as well as the technical skills demonstrated by the applicant within his/her rating. Selectees are then commissioned by the President, and assigned a warrant specialty by the Coast Guard.

Within one year of commissioning, CWOs are required to attend a 26-day Chief Warrant Officer Indoctrination Course at Naval Aviation Schools Command, Pensacola, Florida. If a selectee's appointment to Chief Warrant Officer (Second) is anticipated to occur after the convening of the indoctrination course, the member may be "frocked" as a CWO.³³³⁴

Commissioned Officer Accessions

The Coast Guard obtains officers from three primary sources: the four-year Coast Guard Academy, the 17-week Officer Candidate School, and direct commissioning programs. In addition, the Coast Guard maintains a "Warrant Officer-to-Lieutenant" Program.

U.S. Coast Guard Academy, New London, CT

The Coast Guard Academy selects up to 300 men and women to be cadets on a nationwide, competitive basis. Unlike the other four military academies, a congressional nomination is not required. Screening criteria include performance on standardized test scores, high school academic performance, extracurricular activities, and contributions to the applicant's community.

In addition to meeting these criteria, cadets must meet the accession criteria of the enlisted Coast Guard, and must be an unmarried U.S. citizen between the ages of 17 and 22 at the date of application. The Academy curriculum includes studies in engineering, the humanities, physical science, seamanship, navigation, and the social sciences. Graduates are commissioned Ensign (O-1) in the U.S. Coast Guard, and agree to serve a minimum of five years after graduation. Cadets receive a Bachelor of Science degree upon graduation, as well as assignment to a Coast Guard cutter as a student engineer or deck watch officer.

³² At the date of this writing, the Coast Guard also allows First Class Petty Officers to apply for CWO if they await advancement to Chief Petty Officer from the Headquarters Advancement Eligibility List, and if it is anticipated that they will be advanced during the advancement year.

³³ _____, (U.S. Coast Guard). *Chief Warrant Officer Indoctrination Course*, COMDTINST 1500.1.

³⁴ "Frocked:" Under the authority of 14 U.S.C. 632, officers selected for, but not yet promoted to, the next higher grade may receive the rights and privileges of that grade (except for pay) when it is considered necessary for the needs of the service, or when it would be a significant factor in the individual's ability to perform his/her duties. *Personnel Manual*, COMDTINST M1000.6, para. 5.A.14.a.

Academy graduates comprise a large segment of the active duty Coast Guard officer corps, particularly in the Service's most senior leadership positions. Academy graduates make up 52% of all commissioned officers (ensign to admiral) on the Active Duty Promotion List (ADPL), and 74% of officers in the rank of Captain and above (including 25 out of 30 flag officers).³⁵

Officer Candidate School, Reserve Training Center Yorktown, VA

The stated purpose of Officer Candidate School (OCS) is to prepare "officer candidates to serve in the USCG active and Reserve components."³⁶ In practice OCS acts as a kind of valve to control the flow of commissioned officers into the active duty Coast Guard. Graduates serve in a variety of assignments afloat and ashore, filling entry level officer billets not intended for fill by peer level graduates of the Academy.

Officer candidates who have served for more than four years of active duty service (unofficially termed "temps" or "mustangs") receive temporary commissions in the U.S. Coast Guard upon graduation. "Temps" normally receive commissions as ensigns, but may – depending upon their qualifications and the needs of the Service – be commissioned at the rank of Lieutenant Junior Grade.³⁷

All other candidates receive commissions in the U.S. Coast Guard Reserve. After a minimum commitment of three years commissioned service, candidates may either leave active duty or request extension on active duty. Candidates who leave active duty are transferred to the Ready Reserve. Those approved for extension on active duty are allowed to serve until they can compete for promotion to Lieutenant on the ADPL and for integration into the regular Coast Guard.

After three years of commissioned service and selection to the rank of Lieutenant on the ADPL, "temps" and candidates with Reserve commissions may request integration as "regular Permanent officers."³⁸ Integration as a regular officer is the Service's acknowledgement of the individual's suitability as a career Coast Guard officer who demonstrates potential for greater responsibility.

OCS prepares officer candidates to serve in the USCG active and Reserve components. The officer candidate program is designed to:

- (1) develop skills required of an officer;
- (2) develop those qualities, characteristics, and knowledge necessary for effective leadership;
- (3) familiarize individuals with the administrative practices, duties, authority, and organization of the USCG;
- (4) indoctrinate basic military principles, procedures, knowledge, skills, and discipline;
- (5) teach fundamental nautical and professional skills and knowledge; and to
- (6) determine suitability for commissioning.³⁹

The criteria for selection to OCS for both "temps" and Reserve candidates resemble those identified both for enlistment and for the Academy. In addition, the following requirements apply:

- Age: Between the ages of 21 and 26 before the OCS class convenes (up to age 40 for CWOs).

³⁵ _____, (U.S. Coast Guard). *Register of Officers - 1997*, COMDTINST M1427.1R.

³⁶ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 2.A.1.b.

³⁷ *Ibid.*, para. 1.A.3.

³⁸ *Ibid.*, para. 1.A.10.a.

³⁹ _____, (U.S. Coast Guard). *Training and Education Manual*, COMDTINST M1500.10B, para. 2.A.1.b.

This age window can be extended up to a maximum of 60 months for active duty served in any of the armed forces.

- **Military Status:** If the applicant is a member of any service other than the Coast Guard or Coast Guard Reserve, he/she must secure conditional release from the parent service.

Fewer than six years of active duty in any service other than the Coast Guard or Coast Guard Reserve creditable towards retirement.

- **Citizenship:** U.S. citizens only; and

No questionable foreign connections.

- **Standardized Test Scores:** Qualifying score on either the Scholastic Aptitude Test, the American College Test or the Armed Services Vocational Aptitude Battery.
- **Interview:** Satisfactory interview by a board of commissioned officers.
- **Education:** Bachelor-level degree from an accredited institution or, in the case of ‘temps,’ satisfactory achievement on the collegiate level as defined in the Personnel Manual.⁴⁰
- **Dependents:** Applicants other than those currently in the Coast Guard may have no more than three dependents.
- **Medical:** Be certified available for worldwide assignment.
- **Application package** submitted by the candidate that includes a completed National Agency Questionnaire, four photographs of the individual, a written statement explaining the reasons for pursuing a Coast Guard commission, five personal references.

Direct Commissioning Programs.⁴¹

The Coast Guard supplements its demand for specialized officers by commissioning professionals with the requisite skills. Candidates in this Direct Commission Officer (DCO) Program attend the Officer Indoctrination Course, a four-week course of instruction that orients the candidate to the organization, missions and duties of Coast Guard officers. The course is taught by OCS instructors and uses OCS facilities. Like those who graduate from OCS, candidates who join the Coast Guard under the DCO Program receive Reserve commissions in the rank of Ensign, Lieutenant Junior Grade or Lieutenant. Eligibility criteria are essentially the same as those prescribed for the Academy and OCS. The following programs are offered, in frequencies of classes and number of candidates as dictated by the needs of the service:

- Direct Commission Aviator Program.
- State and Federal Maritime Academy Graduates (MARGRAD).
- Prior-Trained Military Officers.
- Engineering Officers.
- Selected School Graduates.

⁴⁰ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 1.B.5.b(7).

⁴¹ _____, (U.S. Coast Guard). *Direct Commission Programs*, COMDTINST 1131.23.

- Law School Graduates.
- Environmental Manager Direct Commission Manager Program.

Chief Warrant Officer-to-Lieutenant Program

The objectives of the Warrant Officer-to-Lieutenant Program are the following:

- “to improve the inventory of officers in the middle grades in certain occupational fields where the special skills and experience of warrant officers are needed to round out the experience of the total officer population; and
- “to provide a limited opportunity for upward mobility for deserving senior members of the warrant officer corps.”⁴²

CWOs selected for this program receive temporary commissions in the active duty Coast Guard, and agree to serve for at least three years from the date of appointment. Successful candidates normally serve in the primary occupational specialty area from which they originated.

⁴² _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para 5-B-10 and 14 U.S.C. 214.

Occupations

Enlisted Ratings

Enlisted personnel perform duties in occupational specialties called “ratings.” Table 6 identifies the enlisted ratings of the active duty Coast Guard as of July 11, 1997; descriptions of these ratings are included at Tab B.

Force managers at Headquarters translate broad mission requirements into specific “job performance requirements” (JPRs). The force manager prescribes JPRs for each pay grade within a rating; JPRs describe the minimum performance qualifications required of a given billet or of the next higher pay grade. (In addition to attainment of and proficiency in JPRs, the petty officer may also be required to obtain or requalify in additional qualifications). An example illustrates this point.

EXAMPLE: A billet calls for a Petty Officer Second Class in the Boatswain’s Mate rating (“BM2”). An active duty BM2 receives orders to that billet at the unit. Assuming that there are no other qualifications prescribed for the billet – either by the force manager, the program manager at Headquarters that sponsors the billet, or by the commanding officer of the unit – then the incumbent is expected to be proficient in the JPRs for a BM2. (Tab C is a copy of the JPRs for a BM2). In addition, in order to compete successfully for advancement to the next higher pay grade, the BM2 incumbent must learn and become proficient in the JPRs for BM1.

Enlisted personnel attain a rating either by attending Class “A” school or by learning on the job. Class “A” schools comprise the minimum essential, rating-specific training designed to provide the basic technical knowledge and skills required to perform the JPRs of a Petty Officer Third Class. The Class “A” school graduate is an apprentice who will initially require on-the-job training under close supervision to carry out duties.⁴³ The alternative to completing Class “A” school is to learn the JPRs for Petty Officer Third Class under close supervision on the job. This latter practice is known as “striking,” an option available to some – but not all – ratings.

With the exception of seamen who have earned a rating but await advancement to Petty Officer Third Class, enlisted personnel with a rating are either classed as Petty Officers or Chief Petty Officers.

Table 6 - Enlisted Ratings of the Active Component

• Aviation Maintenance Technician	• Fire Control Technician	• Public Affairs Specialist
• Aviation Electronics Technician	• Food Services Specialist	• Quartermaster
• Aviation Survival Technician	• Gunner’s Mate	• Radarman
• Boatswain’s Mate	• Health Services Technician	• Radioman
• Damage Controlman	• Machinery Technician	• Storekeeper
• Electrician’s Mate	• Marine Science Technician	• Telephone Technician
• Electronics Technician	• Musician	• Yeoman

⁴³ _____, (U.S. Coast Guard). *Training and Education Manual*, COMDTINST M1500.10, para. 1.C.

Warrant Officer Specialties

By virtue of their expertise, Coast Guard CWOs are commissioned in specialties related to their enlisted ratings. Table 7 maps warrant officer specialties to their corresponding enlisted ratings.

Table 7 - Enlisted Rating - to - Warrant Officer Specialty Map

Warrant Specialty	Abbreviation	Enlisted Rating
• Aviation Engineering	AVI	Aviation Maintenance Technician
• Boatswain	BOSN	Boatswain's Mate Marine Science Technician Quartermaster Radarman
• Communications	COMM	Radioman
• Electronics	ELC	Aviation Electronics Technician Electronics Technician Telephone Technician
• Finance and Supply	F&S	Storekeeper Food Service Specialist
• Material Maintenance	MAT	Aviation Survival Technician Damage Controlman
• Medical Administration	MED	Health Services Technician
• Naval Engineering	ENG	Electrician's Mate Machinery Technician
• Personnel Administration	PERS	Yeoman
• Physician Assistant	PYA	Health Services Technician
• Public Information	INF	Public Affairs Specialist
• Weapons	WEPS	Fire Control Technician Gunner's Mate

Commissioned Officers

Commissioned officers of the Coast Guard receive commissions in the “unrestricted line.” This means that commissioned officers are considered generalists who, in a theoretical sense, may perform duties in any occupation for which they are qualified. (This contrasts with the U.S. Navy, which awards commissions in “restricted line” occupations that require specialized training. Officers within the restricted line compete with peers for promotion from within their occupational field. A lawyer in the Coast Guard is assigned to the “unrestricted line;” a lawyer in the Navy is assigned to the restricted line of the Judge Advocate General Corps.) The only exceptions to this rule are Public Health Service officers who provide health care services and members of the Navy Chaplain Corps.

Occupational distinctions in the commissioned officer corps are made on the basis of eight digit “experience indicator” codes (EICs). EICs describe an individual’s occupational specialty in a manner akin to an enlisted rating, the specialty of the individual’s current duty assignment, as well as the specialty required in the last immediate assignment. Five fields comprise the experience indicator.

1. Digits 1 and 2: “Primary Occupational Field Code” that describes a field for which the officer completed resident training and served in a billet that required that training.
2. Digits 3 and 4: the occupational field required by the billet in which the officer *currently* serves.
3. Digits 5 and 6: the occupational field required by the billet in which the officer *last* served.
4. Digit 7: a code (0 to 9) indicating the officer’s most recent type of assignment at an operational ashore field unit.
5. Digit 8: a code (0 to 9) indicating the officer’s most recent type of assignment at an operational afloat field unit.

See Table 8 for a listing of officer occupational codes of the active duty Coast Guard as of July 11, 1997.

Special Skills

Training

Formal training – training for which a curriculum and terminal performance objectives have been established – may occur on a *resident* or *nonresident* basis. Resident training is conducted at Coast Guard, Department of Defense, or federal training facilities, or on a contract basis with a commercial vendor. Formal training may also occur on a *nonresident* basis via correspondence course or distance learning technologies. In addition, informal training takes place “on the job” (e.g., where the worker learns by doing, or where a supervisor coaches a subordinate in a new technique).

The Coast Guard defines three categories of training: entry level, advanced/specialized training, and general training.⁴⁴ *Entry level training* consists of two components: service entry level training (described in “Accessions”) and job entry level training (described in “Occupations”). *General training* is conducted at the unit level and covers subjects important to all assigned personnel (e.g., first aid or small arms training).

Advanced and specialized training, also known as class “C” schools, build and sustain the Coast Guard’s inventory of critical skills. Class “C” schools prepare officers and enlisted personnel for specific jobs that are “more advanced than the jobs and training covered by entry level courses, and often require the conceptual knowledge and skills already acquired in the basic courses.”⁴⁵ Instruction is normally performance-based, requiring students to demonstrate proficiency sufficient to satisfy terminal performance objectives.

The Coast Guard assigns people to resident training, tracks their attendance and completion, reports individual training histories, and reports travel expenses associated with student attendance at training in the Training Management System (TMS).⁴⁶

⁴⁴ _____, (U.S. Coast Guard). *Training and Education Manual*, COMDTINST M1500.10B, para. 1-B-2.

⁴⁵ *Ibid.*, para. 2-B-1.

⁴⁶ Aside: Direct, real time connectivity between TMS and the Coast Guard’s Large Unit Financial System (LUFS) and the Personnel Management System (PMIS) does not presently exist; however, interface by magnetic tape allows TMS to exchange data with LUFS and PMIS. Meaningful, on-line, readily-accessible training and qualification data from TMS is far removed from unit training officers at the time of this writing.

Table 8 - Commissioned Officer Occupational Field Codes of the Active Duty Coast Guard⁴⁷

• Acquisition/Project Management	• Dentist	• Legal	• Planning - General
• Aids to Navigation	• Electronics Engineering	• Management (General)	• Planning, Programming, and Budgeting
• Air Liaison & Special Staff	• Engineering (General)	• Management Contingency/Defense	• Port Contingency Planning
• Aircraft Maintenance, Overhaul, Repair & Supply	• Engineering Afloat	• Marine Investigation	• Port Safety/ Environmental Protection (General)
• Auxiliary/Education	• Engineering Physics	• Marine Safety (General)	• Psychology
• Aviation (General)	• Environmental/ Occupational Health	• Marine Science Activities	• Public and International Affairs
• Aviation Administration	• Explosive Loading	• Medical Administration	• Readiness
• Aviation Electronics	• Financial Management	• Naval Engineering	• Recruiting
• Aviation Engineering Administration	• Fiscal Operations	• Nurse	• Resale Programs
• Boating Affairs	• General Command and Staff	• Ocean Engineering	• Research and Development
• Boating Investigation	• Hazardous Material	• Operations (General)	• Reserve Programs
• Boating Safety (General)	• Health Care Administration	• Optometry	• Search and Rescue
• Boating Standards	• Human Resources Management (Enlisted)	• Personnel (General)	• Special Aides/ Assistant Liaison

Qualification

Enlisted ratings, warrant officer specialties, and officer experience indicators identify – on an aggregate scale – the basic knowledge, skills and abilities required to perform Coast Guard missions. However, these occupational specialties by themselves do not capture all of the performance requirements of the Coast Guard’s world of work. To identify skills required by local conditions (e.g., heavy surf characteristic of the Columbia River) or critical needs (foreign language fluency), the Coast Guard assigns *enlisted qualification codes*:

Qualification codes identify special skills and knowledge possessed by enlisted personnel which cannot be adequately identified by rate or rating alone. A code reflects resident training and on-the-job training (OJT) or simply OJT.⁴⁸

Although “qual codes” were designed to assist in managing the enlisted workforce, some program managers have begun to consider the use of “qual codes” in the development of their warrant and commissioned officers.

⁴⁷ _____, (U.S. Coast Guard). *Register of Officers - 1997*, COMDTINST M1427.1R, pp. viii-x.

⁴⁸ _____, (U.S. Coast Guard). *Enlisted Qualification Codes Manual*, COMDTINST 1414.9A, para. 1.C1.

“Qual codes” are divided between those that are rating specific and special series codes that someone in any rating may hold. The three primary purposes of “qual codes” are:

- To identify the specialized or localized skills required of billets.
- To optimize the match between qualified personnel to billets that require special skills, and to thereby optimize the distribution of qualified personnel throughout the service.
- To determine the Coast Guard’s stock of special skills and to forecast training requirements to sustain the availability of those skills in sufficient quantities.

A two digit code is assigned in the Personnel Management Information System (PMIS) record for qualified individuals.^{49, 50} Qualification codes remain in the member’s record until they are canceled by a PMIS entry removing the code. It is therefore possible for someone whose skills have eroded to still hold a “qual code.”

Certification and Currency

A “qual” code alone does not provide the member license to perform an activity. The presence of “qual codes” in a record indicates that – at one point in time, perhaps in a controlled environment such as a training center – the member demonstrated the proficiency and met the criteria for initial assignment of a particular qualification.

Certification is a practice by which a Coast Guard command verifies that the individual is capable of performing the task described by the “qual code,” and is authorized to perform the task at that command. *Currency* of certification confirms the member’s continuing ability to perform that task. Typically *certification* and *currency* apply to qualifications that require a high degree of skill, such as firearms proficiency or service as the member of a boat crew. Since the local commander is ultimately held accountable for the safety of the people and equipment assigned, *certification* and *currency* provide a quality check: the member may not perform the task unless he/she demonstrates proficiency to the command’s satisfaction – the “qual” code alone is not a license to perform the activity.

⁴⁹ Up to a maximum of 12 codes. *Ibid.*, para. 1.C.4.

⁵⁰ PMIS is the Coast Guard’s centralized information system that records personnel actions and from which extracted data report human resource management information.

Promotion

Enlisted Advancement

Enlisted sailors advance in “rate” (i.e., they advance to the next higher pay grade in the rating within which they serve) by competing with peers of the same rank and rating on the “Servicewide Examination” (SWE). To participate in the SWE, the candidate establishes his/her eligibility by successfully completing correspondence courses that prepare the member for the JPRs of the next higher pay grade in the rating, and for the general knowledge factors (MRNs)⁵¹ required of the next higher pay grade.

Example: a Boatswain’s Mate Third Class establishes eligibility for participating in the SWE by (1) successfully completing an end-of-course test for the Boatswain’s Mate Second Class correspondence course, and (2) by successfully completing the Petty Officer Second Class MRN end-of-course test.

Participation on the SWE is a prerequisite for being considered for advancement, but it is not the only determinant. Seven factors or “multiples” are used to evaluate an enlisted person for advancement (see Table 9). Each participant receives a total score or “final multiple” and is placed on an advancement eligibility list for each rating and pay grade. Planners at Coast Guard Headquarters determine the Service’s need for personnel in each rating and pay grade, and then establish a cutoff point on the advancement eligibility list. Personnel on the list at or above the cutoff may expect to be advanced in rate before the advancement cycle is completed; those who fall below the cutoff do not expect to be advanced until the next advancement cycle unless Service needs change.

Table 9 - Enlisted Advancement Multiple

Factor	Max. Points Awarded	Criteria
SWE Performance	80	Examination Score
Performance Factor	50	Performance appraisal marks
Time in Service	20	Time in service (1 pt. per year), up to a maximum of 20 years
Time in pay grade in present rating	10	1 pt. per six mos./2 pts. per year up to 5 years
Personal awards	10	1 to 10 pts. per award as prescribed for each medal
Sea Duty	5	Time served aboard ship while permanently assigned
Total Points Possible:	175	

Commissioned and Warrant Officer Promotion

Compared with the relative objectivity of the enlisted advancement process, the promotion of officers is far more subjective.⁵² the determination of promotability is ultimately subjective. A panel comprised of senior officers determines which officers are selected for promotion to the next rank. Swearing an oath of secrecy, the board’s deliberations and thought processes are never recorded. The “up-or-out” officer promotion system inevitably renders selection reports controversial, aggravating already fierce competition among selection candidates.

⁵¹ MRNs: Military Requirements. MRNs are defined for all enlisted pay grades; however, there is no MRN test for advancement to Senior Chief Petty Officer (E-8) or Master Chief Petty Officer (E-9). Tab D identifies enlisted MRNs for pay grades E-4 to E-9.

⁵² The promotion selection process itself is thoroughly detailed in statute (14 U.S.C. 251-275) and policy (chapter 5 of the *Coast Guard Personnel Manual*).

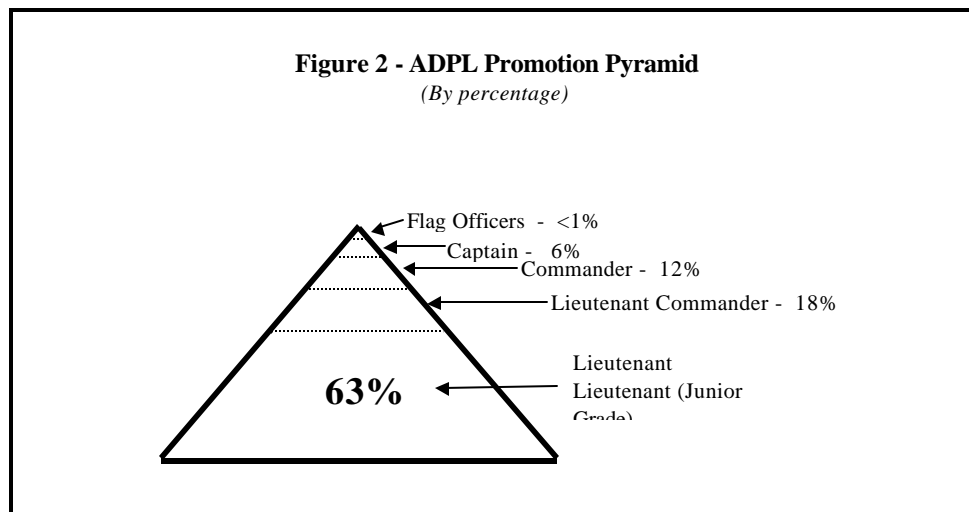
The type of information all personnel boards consider is fundamentally the same. However, each board develops its own overall standards and selection criteria. The degree of significance a board assigns to each of the many factors it considers may vary according to the grade level and type of selection the board is making.⁵³

One group of officers is impaneled at one time to recommend one subset of officers for promotion to one rank. A precept is read to the panel before it begins its deliberations; process administrators describe general policies, offer a snap shot of current needs, and commend various factors to panel members for their consideration. However, since “the board is convened solely to obtain its members’ opinion, it must act according to its own judgment and is bound only by existing law and the oath its members take.”⁵⁴ Aviators, pollution experts, commanders of cutters and administrators may be considered as a whole without regard for their occupational specialties. Since most promotion, continuation and retention panels are conducted on a “best qualified” basis with limited consideration paid to specialty, the ability to objectively compare one specialty against another is limited. (For a discussion of “best qualified” versus “fully qualified” selection criteria, see the section titled “Separations”).

Complicating the promotion process further is the limited number of inputs for the panel to consider. Unlike the enlisted force, in which advancement is keyed to seven different factors, the promotion of officers is tied to performance documented in a member’s personnel appraisal forms or “Officer Evaluation Reports” (OERs).

By policy, the maximum number of commissioned officers that can be carried on the ADPL is 6,000; currently, there are 5,771 commissioned officers on board. The number of commissioned officers that may be selected for promotion in any given year varies by rank, but is capped annually by the Secretary of Transportation.

Each year, the Secretary of Transportation sets the ceiling on the number of officers serving in each rank by multiplying the number of commissioned officers by the percentages shown in Figure 2. Starting at the most senior officer ranks and working downward, the resulting calculations make up the promotion pyramid. After expected losses for the forthcoming promotion year⁵⁵ are factored in, the difference between the *number authorized* and the *number on board* in each rank is the number of selections that may be made.



⁵³ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 14-A-3.a.

⁵⁴ *Ibid.*, para. 14-A-4.

⁵⁵ July 1 to June 30.

The manner in which this number is derived reveals an ambiguity in workforce planning. Congress, the Department of Transportation and the Coast Guard itself define the demand for officer “labor” in two ways.

First, the Strategic Planning, Long Range Planning, Programming, Budgeting, Execution and Evaluation System (SPPBEES) defines the requirement for officers in terms of billets, “full time equivalencies” (FTEs), planning factors, staffing standards. In other words, SPPBEES describes how many units of labor are needed to meet program requirements.

Second, the up-or-out promotion process is a push system that itself generates a kind of requirement. It answers the question “What will labor in officer billets look like?” If the number of senior officer billets were reduced, the promotion system could continue to churn out “requirements” for senior officer promotions. In reality, the Secretary and the Commandant work to align ADPL promotions with SPPBEES requirements. However, the fact that two separate systems with two differing objectives exist, and the fact that the two systems are not reconciled except by direct, periodic intervention at the highest levels of the Coast Guard and the Department of Transportation, increase the probability for mismatches between billet requirements and how many promotions are needed to fill in the pyramid.

This misalignment – whether real or perceived – blurs the definition of demand for commissioned officer labor.

The same procedures that govern commissioned officer promotions also govern the promotion of CWOs with two significant differences. First, the Secretary of Transportation may establish a minimum or maximum number of candidates who may be selected within specific specialty areas. Second, a CWO panel not only selects candidates for promotion, but also submits “the names of those warrant officers it considered whose records establish, in its opinion, unfitness or unsatisfactory performance.”⁵⁶

⁵⁶ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 14-A-18.f.

Assignment and Transfer

Current assignment policy states:

It is a long-standing feature of military service and the Commandant's policy that all Coast Guard members be available for unrestricted duty assignment worldwide.⁵⁷

This statement underscores the mobile nature of the active duty workforce: a variety of tools are used to move people on a short term (“temporary additional duty” or “TAD”) or long term (“permanent change of station” or “PCS”) basis, as befits the needs of the Service. The ability to command workers to move where they are needed allows for great flexibility, but may also entail high costs.

While the practice of transferring employees from one job site to another occurs in the civilian sector, it is difficult to identify an organization that moves as many people between jobs as frequently as the military. It is not clear exactly how many individuals are transferred each year; however, the Coast Guard reports that it prepares – on average – 19,000 sets of rotation orders annually.⁵⁸ Putting aside the \$60M financial cost of move related expenses, Coast Guard assignment practices result in the dislocation of 25 to 55 percent of the active duty workforce *each year*.⁵⁹

Enlisted

In 1996, the Coast Guard systematized its assignment of enlisted personnel with its “SPEAR” process (Strategize, Publish, Engage, Act, and Review), an assignment system designed to reduce variance in the flow of people into and out of billets. The stages of the SPEAR process are summarized in the following table.

⁵⁷ *Ibid.*, para. 4-A-6.a.

⁵⁸ _____, (General Accounting Office). *Coast Guard: Challenges for Addressing Budget Constraints*, GAO RCED-97-110, May 1997, pg. 38.

⁵⁹ This is a broad range proposed for conceptual purposes. Minimum four years is considered to be a standard tour length; if 100 percent of the force turns over every four years, then 25 percent of the force can be expected to rotate each year to ensure continuity of operations. Thus: 25 percent per year represents the minimum turn over rate, assuming accessions equal attrition in the force. Maximum if only one set of PCS orders are issued to one individual per year, and if 19,000 such orders are issued annually, and if there are 34,000 active duty personnel, then 19,000 transfers divided by 34,031 active duty personnel = approximately 55.8 percent. *Ibid.*

Table 10 - SPEAR Process Summary⁶⁰

Stage	Time Frame	Major Activities
Strategize	June - July	Personnel Command (CGPC) forecasts billet vacancies, tour completions, fiscal limitations. Commands advise CGPC of projected tour completion dates, separations.
Publish	August	Anticipated billet vacancies published (“shopping list”).
Engage	September - November	Members review “shopping list” with mentors, supervisor, unit points of contact (POC). Member submits “dream sheet” to CGPC. CGPC and unit POC coordinate member requests, unit & Service needs. CGPC compile preliminary assignment slates.
Act	December - March	CGPC compiles slates and issues PCS orders to members.
Review	April - May	CGPC makes necessary adjustments to assignment slates. CGPC evaluates feedback and considers process changes for following assignment season.

Tour lengths for enlisted personnel vary by pay grade and by the type of unit to which assigned (ashore and afloat). Typical tour lengths are as follows:⁶¹

- Ashore (CONUS⁶², Alaska and Hawaii) - 4 years.
- Ashore (CONUS⁶³: semi-isolated and special assignments) - 3 years.
- Ashore (OCONUS) - 2 to 3 years.
- Afloat (CONUS) - 3 years.
- Afloat (OCONUS) - 2 to 3 years.

Commissioned and Warrant Officers

As is the case with enlisted assignments, officer assignments also vary by pay grade and by the type of unit to which assigned. In addition, tour lengths for officers and senior enlisted personnel may also be affected if they are assigned to a position of command leadership (e.g., commanding officer). Typical tour lengths are as follows:

- Afloat (CONUS and OCONUS) - 2 years.
- Ashore (CONUS) - 4 years.
- Afloat and Ashore (command leadership billets) - 3 years.
- Ashore (CONUS: special assignments and selected staffs) - 3 years.
- Ashore (CONUS: first tour OCS graduates in staff jobs) - 18 months.

Assignment Considerations

The needs of the Service hold a prominent position in all assignment policies. This is not to say, however, that tour length policies are strictly adhered to in practice. In fact, Coast Guard policy defines a number of exceptions to standard tour lengths. Enlisted assignment officers balance equity in the filling of high priority or hard-to-fill billets

⁶⁰ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 4-C-1.b.

⁶¹ Ibid., para. 4-A-5.b.2.b.

⁶² “CONUS:” a term referring to the continental United States - the lower 48 states. Hawaii, Alaska, U.S. territories and overseas locations are categorized as “OCONUS” or “Outside of CONUS.”

⁶³ “OCONUS:” a term referring to Hawaii, Alaska, U.S. territories and all other overseas locations.

with personal desires for geographic stability.⁶⁴ In the eyes of the Service, geographic stability is not as pivotal for officers as it is for enlisted personnel.⁶⁵

Among the considerations used to evaluate enlisted and officer assignments, CGPC weighs a number of factors in the assignment decision on a case by case basis:⁶⁶

- Adequacy of arrangements for single parents.
- Adequacy of multi-gender facilities.
- Assignment priorities of personnel awaiting transfer orders.
- Career management.
- Collocation of military couples.
- Criticality of the billet to be filled.
- Members' desires.
- Performance history of individuals under consideration.
- Physical condition of billet candidates.
- Previous assignment history of the candidates under consideration.
- Rank and specialty of candidates.
- Recommendations of the command to which a member may be assigned and from where the member originated.
- Service remaining before retirement.
- Service remaining in original enlistment.
- Time served by a member at his/her current command.
- Time served by a member in the geographic area.
- Training investment in candidates.
- Willingness to obligate service in order to transfer.

⁶⁴ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 4-B-3.c.

⁶⁵ *Ibid.*, para. 14-A-3.b(2)(b):“ The diversity of officer assignments in the Coast Guard makes it impossible for any officer to be qualified for all of them; each officer is expected to have true professional competence in one occupational field and, by reason of assignments outside it, to have experience in other fields. While technical specialization is essential in certain lower grades and for certain assignments, in the higher grades emphasis shifts to leadership skills.” It is reasonable to conclude from this statement that career stability – in specialty or in geography – limits an officer’s promotion opportunities.

⁶⁶ The list is intended to be descriptive – not inclusive – of assignment considerations. Consolidated from Chapter 5, *Personnel Manual*.

Separation from Service

Members are separated from active duty service for a variety of reasons, many of which are driven by external influences. Examples include the following:

- *Mission*: In FY93, with the reduction of threat in submarine warfare at the end of the Cold War, the Coast Guard disestablished its Sonar Technician rating.
- *Reengineering*: Advances in technology have significantly reduced the requirement for Telecommunication Specialists.
- *Downsizing*: Deficit reduction efforts in the early 1990s reduced authorized active duty end strengths.
- *Economy*: A strong economy encourages men and women to seek jobs in the civilian sector.
- *Social Influences*: The military can present barriers that encourage members to leave the Coast Guard. Examples include perceived and actual racial bias, race-based and gender-based “glass ceilings,” and the perception that military service reduces one’s social position.

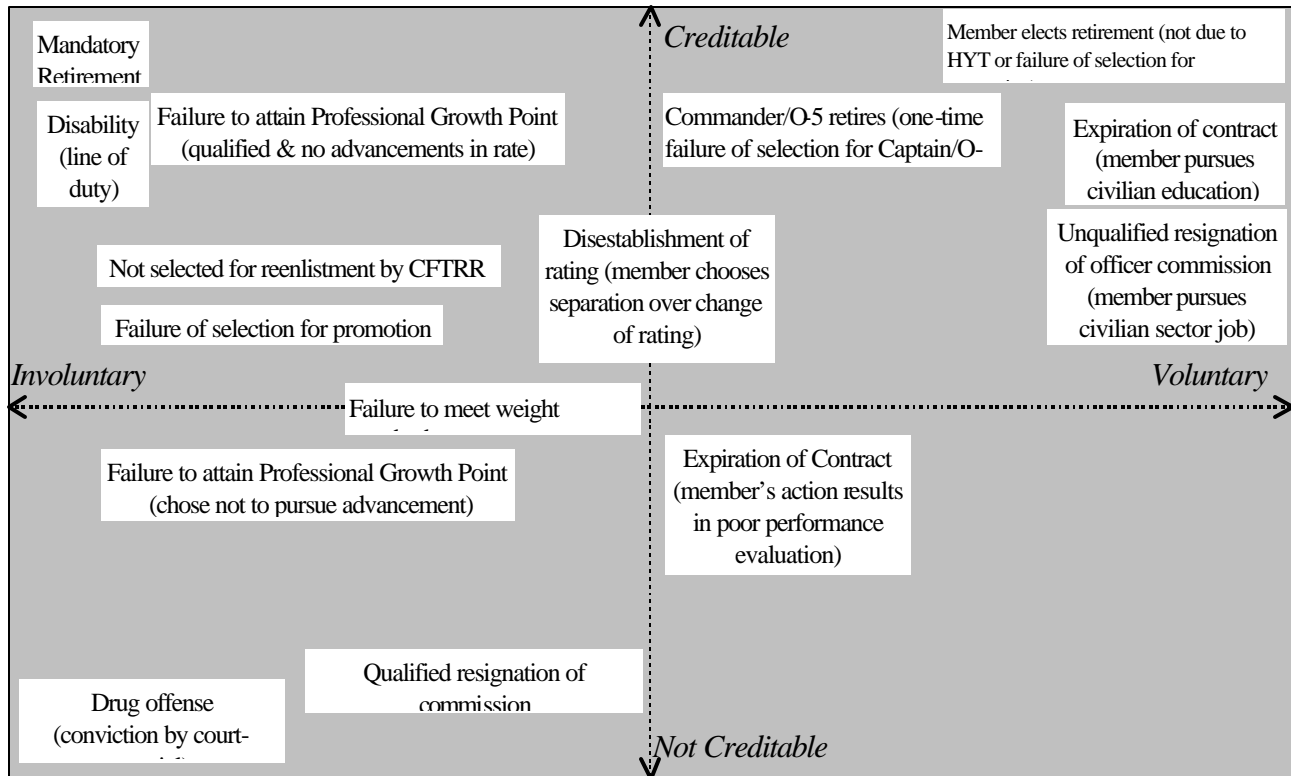
People separate from the active duty Coast Guard through four avenues:

- they are discharged;
- they are discharged due to a physical disability;
- they are administratively transferred to the Coast Guard Reserve; or
- they retire.

Since the conditions that shape the separation decision vary, it is most appropriate to view separations in two dimensions. One dimension – referred to as *voluntariness* for the sake of this paper – addresses the degree to which the member’s choice in leaving the Service was freely arrived at (*voluntary*) or was compelled by policy or statute (*involuntary*). *Voluntariness* occurs within the limits of discretion allowed by Service policy.

A second dimension – referred to in this paper as *creditability* – refers to the degree to which the separation decision reflects a generally favorable perception of the member’s conduct, development and personnel record (*creditable*) or a generally unfavorable view of the member’s actions. Figure 3 is provided to illustrate where various actions may fall within this two-dimensional separation continuum.

Figure 3 - Separation Continuum
Examples of Separation Incidents



Sizing the Force Through Forced Attrition

Until the extended staff downsizing of the 1990s, “reductions in force” targeted parts of the active duty population on an episodic basis in order to meet budgeted end strengths. In the mid-1990s, the Coast Guard devised systems to better control the flow of human resources out of the personnel system.

Officer Promotion System

The first system introduced in the Coast Guard to precipitate the flow of people out of the Service was the “best qualified” officer promotion system introduced in 1963: “Fundamental to selecting for promotion on a best-qualified basis is that the number of officers to be selected is fewer than the number being considered.”⁶⁷ Presumably, “best qualified” selection criteria would allow the Service to retain the most capable officers for fewer vacancies that exist in senior ranks.

The use of a “best qualified” selection precept may be instituted for any panel that considers an officer for promotion, continuation on active duty, retention in a particular field or appointment. However, it is normally reserved for the following:⁶⁸

- Promotion of personnel to the ranks of Chief Warrant Officer (Four), Lieutenant and above.

⁶⁷ _____, (U.S. Coast Guard). *Personnel Manual*, COMDTINST M1000.6A, para. 14-A-6.

⁶⁸ Appointment boards for Reserve Program Administrators, Permanent Commissioned Teaching Staff at the Coast Guard Academy, and CWO-to-Lieutenant selections are conducted on a “best qualified” basis.

- Continuation of Captains on active duty who have served at least two years in grade.
- Retention of Reserve officers on active duty.
- Integration of Reserve officers listed on the ADPL into the active duty Coast Guard.

The option also exists to conduct selection panels on a “fully qualified” basis. “Fully qualified” selection panels – normally reserved for the promotion of Ensigns to Lieutenant (Junior Grade) -- recommend those “whose records indicate that they are qualified to perform all duties to which they reasonably might be assigned in the grade for which they are being considered.”⁶⁹ In either case, candidates who fail of selection are separated from the active duty Coast Guard.

In addition to selection board actions in which the best qualified are *retained*, Chief Warrant Officers may be required to go before a Selective Early Retirement Board (SERB). When the needs of the service dictate its convening, a SERB recommends the *retirement* of those CWOs whose names are not on a promotion list but who are nonetheless retirement eligible.⁷⁰

Enlisted High Year Tenure & CFTRR

Under the need to downsize its workforce in the 1990s, the Coast Guard adopted two mechanisms to control the outflow of enlisted personnel. Both mechanisms placed the enlisted workforce on an “up-or-out” basis.

The first tool implemented was *High Year Tenure (HYT)*, a policy modeled after one adopted by the Department of Defense. The essential component of HYT is the concept of a “professional growth point” (PGP), the maximum time in service that an enlisted person may serve at in each pay grade. Members must advance to the next pay grade to obtain the next higher professional growth point, and thus remain on active duty.

Example: The PGP for a petty officer in pay grade E-5 is 20 years of “active military service.” A Boatswain’s Mate Second Class must compete for advancement on the semi-annual servicewide examination and be advanced to Boatswain’s Mate First Class in order to earn the E-6 PGP of 22 years of active military service. If the member does not advance to pay grade E-6 after 20 years of service, the petty officer must retire.

The second tool implemented was the *Centralized First Term Reenlistment Review (CFTRR)* program. CFTRR screens the applications of Seaman Apprentices (who serve in pay grade E-2) who desire to reenlist after completion of their initial active duty commitment. If a review of the applicant’s record by the Coast Guard Personnel shows that the member is qualified for reenlistment, he or she is authorized to be reenlisted.

Members who fail to meet their prescribed PGP or do not successfully complete CFTRR screening are separated from the active duty and may not reenlist in the active duty Coast Guard. However, if they are otherwise qualified, they may actively participate in a drilling status in the Coast Guard Reserve.

See Table 11 for a description of active duty Coast Guard PGPs.

⁶⁹ *Ibid.*, para. 14-A-5.

⁷⁰ *Ibid.*, para. 5-B-8 and 10 U.S.C. 581.

Table 11 - Active Duty Professional Growth Points

Pay Grade	Max. Years (USCG Service)	Max. Years (All Mil. Service)
E-1	Cannot reenlist/extend.	Cannot reenlist/extend.
E-2	4	4
E-3	7	10
E-4	7	10
E-5		20
E-6		22
E-7		26
E-8		28
E-9		30

Discharge

“Discharge” results in the separation of the member not just from the Coast Guard, but from the U.S. military entirely. There are five primary types of discharge: honorable discharge, general discharge, discharge under other than honorable conditions, bad conduct discharge and dishonorable discharge. The sole consideration used to set the level of discharge is an evaluation of the member’s “character of service” during the current period of service.⁷¹ A description of each type of discharge is provided in Tab E.

The preponderant number of people discharged from the Coast Guard receive an honorable discharged. It is therefore logical to conclude that, in an economic sense, the discharge of individuals from active duty likely represents a loss to the Coast Guard of skills and training investment.

Disability

Under the provisions of 10 U.S.C. 61, the Coast Guard maintains a Physical Disability Evaluation System which determines (1) the unfitness for duty as the basis for retirement or separation by reason of physical disability, (2) the percentage of disability (using the VA disability rating schedule) at the time of retirement or separation, and (3) the member’s entitlement to disability severance pay. To be considered for retirement or separation, the disability must render the member unfit to perform the duties expected of a person of his/her office, rank and rating. In addition, the disability must be of a permanent and stable nature, and must not have resulted from intentional misconduct or neglect.⁷²

Transfer to the Coast Guard Reserve

Under the authority of 10 U.S.C. 651, new entrants into the military incur an eight year “military service obligation” (MSO).⁷³ Members first complete an initial active duty service commitment,⁷⁴ and then serve the balance in the Ready

⁷¹ *Ibid.*, para. 12-B-2e.

⁷² _____, (U.S. Coast Guard). *Physical Disability Evaluation System*, COMDTINST M1850.2C, chapter 2.

⁷³ _____, (U.S. Coast Guard). *Recruiting Manual*, COMDTINST M1100.2C, para. 3-A-3.a.

⁷⁴ Active duty commitments by accession category: enlisted - 4-6 years; Academy cadets - 5 years; OCS and DCO graduates - 3 years. *Recruiting Manual*, COMDTINST M1100.2C.

Reserve. For most people leaving the active component, this amounts to a transfer for administrative purposes only and no further duty is performed in the Coast Guard.⁷⁵

However, many request assignment to billets in the Coast Guard Reserve where they continue their military career on a part time basis of two drilling days per month and two weeks of active duty per year.

Retirement

Title 14, U.S. Code limits the amount of time an individual may remain on active duty before retirement. Otherwise qualified members may elect to retire when they have served a minimum of 20 years active service.⁷⁶ Members reach mandatory retirement after 30 years of service, with the exception that flag officers may remain for up to 36 years.

The following table summarizes the mechanisms that result in voluntary and involuntary retirement from the Coast Guard.

Table 12 - Retirement Authorities

Type of Retirement	Commissioned Officers	Warrant Officers	Enlisted
VOLUNTARY			
• <i>20 Years</i>	14 U.S.C. 292	PERSMAN 12-C-6	14 U.S.C. 354
• <i>30 Years</i>	14 U.S.C. 291	10 U.S.C. 1293	14 U.S.C. 355
INVOLUNTARY			
• <i>Age 62</i>	14 U.S.C. 293	10 U.S.C. 1305	14 U.S.C. 353
• <i>Failure of selection to next higher rank</i>	RADM - 14 U.S.C. 290 CAPT - 14 U.S.C. 288(a) CDR - 14 U.S.C. 285 LCDR - 14 U.S.C. 285	10 U.S.C. 1293 or PERSMAN Para. 5-B-4-c.4	N/A
• <i>Continuation or retention on active duty</i>	14 U.S.C. 289	PERSMAN Para. 5-B-4-c.4	PERSMAN Para. 1-G-5

⁷⁵ The lengthy duration of the MSO was intended to secure a pool of prior service people who could be called upon in time of general war.

⁷⁶ _____, (U.S. Coast Guard). Personnel Manual, COMDTINST M1000.6A, para. 12-C.

Summary

The Coast Guard employs a rigid, internal labor market approach to manage the active component. A significant amount of pre-accession screening seeks to identify high school and college graduates; after initial entry training, the Coast Guard continues to invest substantially in the resident, nonresident, and on-the-job training of the enlisted, chief warrant officer, and commissioned officer populations. Active component members are employed throughout the world, with most serving in specialized billets throughout the U.S. and its territories. As an illustration, Tabs B and C show the scope of duties and job performance requirements for the Coast Guard's active component enlisted force.

Enlisted, chief warrant officer, and commissioned officer promotion systems are managed differently, but all operate on competitive basis. Members who leave voluntarily may affiliate directly with the Coast Guard Reserve, and many pursue employment with the Coast Guard as civil service employees. Involuntary separation mechanisms for retirement, failure of performance, disability, or misconduct are tightly regulated by law and policy.

Tab A - 1997 Active Duty Chart of Pay and Allowances

	Time in Service										
Rank	<2	2	3	4	6	8	10	12	14	16	18
E-1	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90
E-2	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10
E-3	\$ 1,049.70	\$ 1,107.00	\$ 1,151.10	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70
E-4	\$ 1,113.60	\$ 1,176.30	\$ 1,245.60	\$ 1,341.60	\$ 1,394.70	\$ 1,394.70	\$ 1,394.70	\$ 1,394.70	\$ 1,394.70	\$ 1,394.70	\$ 1,394.70
E-5	\$ 1,194.30	\$ 1,299.90	\$ 1,362.90	\$ 1,422.30	\$ 1,515.90	\$ 1,577.70	\$ 1,639.80	\$ 1,700.40	\$ 1,731.30	\$ 1,731.30	\$ 1,731.30
E-6	\$ 1,360.80	\$ 1,483.50	\$ 1,545.00	\$ 1,610.70	\$ 1,671.30	\$ 1,731.30	\$ 1,794.90	\$ 1,887.30	\$ 1,946.70	\$ 2,009.40	\$ 2,040.00
E-7	\$ 1,581.90	\$ 1,707.90	\$ 1,770.60	\$ 1,833.00	\$ 1,895.40	\$ 1,955.70	\$ 2,018.40	\$ 2,081.40	\$ 2,175.30	\$ 2,237.10	\$ 2,298.90
E-8	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,265.60	\$ 2,330.70	\$ 2,391.90	\$ 2,454.00	\$ 2,519.10	\$ 2,576.40
E-9	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,701.80	\$ 2,762.40	\$ 2,824.80	\$ 2,889.90	\$ 2,954.70
W-2	\$ 1,848.60	\$ 2,000.10	\$ 2,000.10	\$ 2,058.30	\$ 2,170.80	\$ 2,289.60	\$ 2,376.60	\$ 2,463.60	\$ 2,548.50	\$ 2,638.20	\$ 2,724.90
W-3	\$ 2,110.80	\$ 2,289.60	\$ 2,289.60	\$ 2,319.30	\$ 2,346.30	\$ 2,517.90	\$ 2,664.60	\$ 2,751.60	\$ 2,838.90	\$ 2,923.80	\$ 3,014.70
W-4	\$ 2,322.30	\$ 2,491.80	\$ 2,491.80	\$ 2,548.50	\$ 2,664.60	\$ 2,781.90	\$ 2,898.60	\$ 3,101.40	\$ 3,245.40	\$ 3,359.40	\$ 3,449.40
O-1E	\$ -	\$ -	\$ -	\$ 2,170.80	\$ 2,319.30	\$ 2,404.50	\$ 2,491.80	\$ 2,578.20	\$ 2,695.80	\$ 2,695.80	\$ 2,695.80
O-2E	\$ -	\$ -	\$ -	\$ 2,695.80	\$ 2,751.60	\$ 2,838.90	\$ 2,987.10	\$ 3,101.40	\$ 3,186.30	\$ 3,186.30	\$ 3,186.30
O-3E	\$ -	\$ -	\$ -	\$ 3,014.70	\$ 3,159.00	\$ 3,272.10	\$ 3,449.40	\$ 3,619.80	\$ 3,763.50	\$ 3,763.50	\$ 3,763.50
O-1	\$ 1,725.90	\$ 1,796.10	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80
O-2	\$ 1,987.80	\$ 2,170.80	\$ 2,608.20	\$ 2,695.80	\$ 2,751.60	\$ 2,751.60	\$ 2,751.60	\$ 2,751.60	\$ 2,751.60	\$ 2,751.60	\$ 2,751.60
O-3	\$ 2,279.40	\$ 2,548.50	\$ 2,724.90	\$ 3,014.70	\$ 3,159.00	\$ 3,272.10	\$ 3,449.40	\$ 3,619.80	\$ 3,708.60	\$ 3,708.60	\$ 3,708.60
O-4	\$ 2,452.80	\$ 2,987.10	\$ 3,186.30	\$ 3,186.30	\$ 3,245.40	\$ 3,388.50	\$ 3,619.80	\$ 3,823.20	\$ 3,997.50	\$ 4,173.30	\$ 4,287.90
O-5	\$ 2,910.30	\$ 3,417.00	\$ 3,653.40	\$ 3,653.40	\$ 3,653.40	\$ 3,653.40	\$ 3,763.50	\$ 3,966.60	\$ 4,232.40	\$ 4,549.20	\$ 4,809.60
O-6	\$ 3,638.40	\$ 3,997.50	\$ 4,259.70	\$ 4,259.70	\$ 4,259.70	\$ 4,259.70	\$ 4,259.70	\$ 4,259.70	\$ 4,404.60	\$ 5,100.90	\$ 5,361.30
O-7	\$ 4,909.20	\$ 5,243.10	\$ 5,243.10	\$ 5,243.10	\$ 5,478.30	\$ 5,478.30	\$ 5,795.70	\$ 5,795.70	\$ 6,085.50	\$ 6,693.90	\$ 7,154.40
O-8	\$ 5,908.20	\$ 6,085.50	\$ 6,229.80	\$ 6,229.80	\$ 6,229.80	\$ 6,693.90	\$ 6,693.90	\$ 7,010.40	\$ 7,010.40	\$ 7,302.00	\$ 7,619.10
O-9	\$ 6,522.90	\$ 6,693.90	\$ 6,836.70	\$ 6,836.70	\$ 6,836.70	\$ 7,010.40	\$ 7,010.40	\$ 7,302.00	\$ 7,302.00	\$ 7,911.60	\$ 7,911.60
O-10	\$ 7,360.20	\$ 7,619.10	\$ 7,619.10	\$ 7,619.10	\$ 7,619.10	\$ 7,911.60	\$ 7,911.60	\$ 8,349.90	\$ 8,349.90	\$ 8,947.20	\$ 8,947.20

					BAQ			BAS					
					Dependent Status							Enlisted (No Govt Mess)	
Time in Service					Without		With	Enlisted RIK		Enlisted SEPRATS			
Rank	20	22	24	26	Full	Partial		<4 mos.	Others	<4 mos.	Others	<4 mos.	Others
E-1	\$ 900.90	\$ 900.90	\$ 900.90	\$ 900.90	\$ 202.50	\$ 6.90	\$ 361.50	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-2	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 1,010.10	\$ 227.10	\$ 7.20	\$ 361.50	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-3	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70	\$ 1,196.70	\$ 279.60	\$ 7.80	\$ 379.80	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-4	\$ 1,394.70	\$ 1,394.70	\$ 1,394.70	\$ 1,394.70	\$ 285.00	\$ 8.10	\$ 408.00	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-5	\$ 1,731.30	\$ 1,731.30	\$ 1,731.30	\$ 1,731.30	\$ 327.60	\$ 8.70	\$ 469.20	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-6	\$ 2,040.00	\$ 2,040.00	\$ 2,040.00	\$ 2,040.00	\$ 355.20	\$ 9.90	\$ 521.70	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-7	\$ 2,329.20	\$ 2,485.50	\$ 2,609.10	\$ 2,794.80	\$ 392.40	\$ 12.00	\$ 564.60	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-8	\$ 2,639.70	\$ 2,794.80	\$ 2,919.30	\$ 3,106.50	\$ 459.30	\$ 15.30	\$ 608.10	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
E-9	\$ 3,011.70	\$ 3,169.80	\$ 3,293.40	\$ 3,478.50	\$ 500.40	\$ 18.60	\$ 659.70	\$ 229.50	\$ 249.00	\$ 203.70	\$ 220.80	\$ 304.80	\$ 329.70
W-2	\$ 2,810.40	\$ 2,923.80	\$ 2,923.80	\$ 2,923.80	\$ 454.80	\$ 15.90	\$ 579.30	\$ 154.16	<div>Enlisted personnel receive a “basic allowance for subsistence” (BAS) based on the type and availability of messing facilities. Chief Warrant Officers, Commissioned Officers, and Aviation Cadets draw a fixed BAS.</div>				
W-3	\$ 3,132.30	\$ 3,245.40	\$ 3,245.40	\$ 3,359.40	\$ 512.10	\$ 20.70	\$ 629.70	\$ 154.16					
W-4	\$ 3,560.70	\$ 3,679.80	\$ 3,794.40	\$ 3,966.60	\$ 609.30	\$ 25.20	\$ 687.30	\$ 154.16					
O-1E	\$ 2,695.80	\$ 2,695.80	\$ 2,695.80	\$ 2,695.80	\$ 427.20	\$ 13.20	\$ 575.70	\$ 154.16					
O-2E	\$ 3,186.30	\$ 3,186.30	\$ 3,186.30	\$ 3,186.30	\$ 496.80	\$ 17.70	\$ 623.10	\$ 154.16					
O-3E	\$ 3,763.50	\$ 3,763.50	\$ 3,763.50	\$ 3,763.50	\$ 584.40	\$ 22.20	\$ 690.60	\$ 154.16					
O-1	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 2,170.80	\$ 361.50	\$ 13.20	\$ 490.50	\$ 154.16					
O-2	\$ 2,751.60	\$ 2,751.60	\$ 2,751.60	\$ 2,751.60	\$ 429.30	\$ 17.70	\$ 548.70	\$ 154.16					
O-3	\$ 3,708.60	\$ 3,708.60	\$ 3,708.60	\$ 3,708.60	\$ 541.20	\$ 22.20	\$ 642.60	\$ 154.16					
O-4	\$ 4,287.90	\$ 4,287.90	\$ 4,287.90	\$ 4,287.90	\$ 675.30	\$ 26.70	\$ 776.70	\$ 154.16					
O-5	\$ 4,955.70	\$ 5,128.80	\$ 5,128.80	\$ 5,128.80	\$ 728.70	\$ 33.00	\$ 881.10	\$ 154.16					
O-6	\$ 5,478.30	\$ 5,795.70	\$ 5,991.60	\$ 6,285.60	\$ 756.60	\$ 39.60	\$ 914.10	\$ 154.16					
O-7	\$ 7,154.40	\$ 7,154.40	\$ 7,154.40	\$ 7,154.40	\$ 824.70	\$ 50.70	\$ 1,015.20	\$ 154.16					
O-8	\$ 7,911.60	\$ 8,106.60	\$ 8,106.60	\$ 8,106.60	\$ 824.70	\$ 50.70	\$ 1,015.20	\$ 154.16					
O-9	\$ 8,349.90	\$ 8,349.90	\$ 8,349.90	\$ 8,947.20	\$ 824.70	\$ 50.70	\$ 1,015.20	\$ 154.16					
O-10	\$ 9,016.80	\$ 9,016.80	\$ 9,016.80	\$ 9,016.80	\$ 824.70	\$ 50.70	\$ 1,015.20	\$ 154.16					

Tab B - Scope of Job Performance Requirements for Enlisted Ratings⁷⁷

AVIATION MAINTENANCE TECHNICIAN (AMT)

Responsibilities of the Aviation Maintenance Technician are to perform ground handling and servicing of aircraft and conduct routine aircraft inspections and aviation administrative duties. The AMT will also, service, maintain, troubleshoot, repair and/or adjust aircraft engines, engine starters, engine ignition systems, propellers, rotor systems, power train systems and associated airframe and systems specific electrical components; service, maintain, troubleshoot, repair and/or adjust aircraft flight control systems; service, maintain, troubleshoot, repair and/or adjust aircraft environmental systems and their systems specific electrical components; maintain, service, repair aircraft fuselage, wings, rotor blades, fixed and movable flight control surfaces (both metal and composite); paint; perform Non Destructive Inspections; perform aircraft cleaning and corrosion control procedures; service, maintain, troubleshoot, repair and/or adjust aircraft landing gear, wheel, brake and systems specific electrical components; service, maintain troubleshoot, repair and/or adjust aircraft hydraulic systems and systems specific electrical components; service, maintain, troubleshoot, repair and/or adjust aircraft fuel and fuel quantity indicating systems; service, maintain, troubleshoot, repair and/or adjust aircraft cable systems; service, maintain, troubleshoot, repair and/or adjust aircraft auxiliary power units and their systems specific electrical components; service, maintain, troubleshoot, repair and/or adjust aircraft fire extinguisher systems and their systems specific electrical components; service, maintain, troubleshoot, repair and/or adjust aircraft (airframe specific) emergency flotation, pneumatics and their systems specific electrical components. Service, maintain, troubleshoot, repair and/or adjust aircraft hoist systems and their systems specific electrical components; service, maintain, repair/and or adjust aircraft anti-ice systems and their systems specific electrical components. AMT's will perform Aircrew duties.

AVIATION ELECTRONICS TECHNICIAN (AVT)

Responsibilities of the Aviation Electronics Technician are to perform ground handling and servicing of aircraft and perform routine aircraft inspections and aviation administrative duties. The AVT will also operate, service, maintain, troubleshoot, repair, adjust, calibrate and/or align all avionics systems that perform functions of communications, navigation, collision avoidance and target acquisition. AVT's will service, maintain, troubleshoot, repair and/or adjust AC and DC power generation, conversion and distribution systems to the applicable buss; perform aircraft cleaning and corrosion control procedures; service, maintain, troubleshoot, repair and/or adjust aircraft automatic flight control systems, directional control systems including automatic pilot, aircraft compass, and attitude reference systems; service, maintain, troubleshoot aircraft batteries and battery systems to the battery buss; service, maintain, troubleshoot, repair and/or adjust aircraft standard and emergency lighting systems. AVT's will perform Aircrew duties.

AVIATION SURVIVAL TECHNICIAN (AST)

Responsibilities of Aviation Survival Technician are to perform ground handling, servicing and cleaning of aircraft and perform routine aircraft inspections and aviation administrative duties. The AST will also service, maintain, troubleshoot and repair cargo aerial delivery systems, drag parachute systems, survival equipment for air-sea rescue kits and special purpose protective clothing; service, maintain, inspect and repair sewing machines; fit, modify, service, repair, oxygen mask; flight clothing, dry suits, anti-exposure suits; service, maintain, inspect, repair, Aircrew emergency/survival systems; service, maintain, inspect, repair aircraft restraint systems; store aviation ordnance and pyrotechnic devices; conduct aircrew survival/rescue equipment training; perform Aircrew duties of a rescue swimmer.

⁷⁷ _____, (U.S. Coast Guard), *Enlisted Qualifications Manual*, COMDTINST M1414.8B, Tab 0, pp. 1-8.

BOATSWAIN'S MATE (BM)

Boatswain's Mates are proficient in marlin spike, deck and boat seamanship, are the principal enlisted rating for command afloat and ashore, and have a working knowledge of all Coast Guard programs (SAR, ATON, etc.) performed or related to the marine environment. They manage, supervise, and administer personnel and facilities as the OinCs and XPOs of cutters, stations, Aids to Navigation Teams (ANT's), and other units. They serve as deck watch officers on cutters and as boat coxswains. Boatswain's Mates train, direct, and supervise personnel in military duties and all activities relating to seamanship, in painting and upkeep of ship's structure, rigging, deck equipment and boats. They are involved in damage control and working parties. They maintain discipline when assigned as police petty officers, generally serve as members of gun crews or as mount captains at battle stations, and they operate and maintain heavy equipment used in loading and buoy tending work.

DAMAGE CONTROLMAN (DC)

Damage Controlmen qualify in the techniques, skills, use and maintenance of equipment for damage control, carpentry, fire fighting, pipe fitting, anchoring, welding, laying out, assembling, measuring, measuring devices, and chemical, biological, and radiological CBR defense, including the use of personnel decontamination stations and protective shelters; and are responsible for maintaining and repairing damage control equipment and for preserving watertight integrity.

ELECTRICIAN'S MATE (EM)

Electrician's Mates stand watch on motors, generators, switchboards, and control equipment; operate electrical equipment; maintain and repair power and lighting circuits, electrical fixtures, motors, generators, distribution switchboards, and other electrical equipment; test for short circuits, grounds, or other casualties; and repair and rebuild electrical equipment in an electrical shop.

ELECTRONICS TECHNICIAN (ET)

The Electronics Technician (ET) rating is responsible for installing, maintaining and, in certain situations, operating the command and control, communications, computers, intelligence and sensor systems used in all Coast Guard mission areas. They are located in five primary work environments including electronics shops, communications, stations, radio navigation stations, centers of excellence and ten cutter classes.

FIRE CONTROL TECHNICIAN (FT)

Fire Control Technicians operate and maintain shipboard weapons control systems. The specific duties involved are: (1) operate all Coast Guard weapons control equipment, (2) perform preventive and corrective maintenance which includes troubleshooting, testing, analyzing, adjusting, and repairing power drives, fire control radar equipment, target designation equipment, radar signal processing equipment, and analog and digital computers, (3) align weapons control systems, (4) calculate conventional weapons ballistic corrections, (5) maintain records and logs, (6) supervise and train personnel in all phases of weapons control system operation and employment, and (7) administer the weapons department.

FIREMAN (FN) /FIREMAN APPRENTICE (FA)

Fireman are in training for engineering and certain hull ratings. As soon as a fireman's capabilities have been established, they may be designated as a striker for one of the following ratings: Damage Controlmen, Electrician's

Mates, Machinery Technicians; they stand assigned engineering and fire watches; clean engineering spaces and equipment; record readings of gauges and instruments; under proper supervision they make minor repairs to engineering equipment; participate in general drills; and perform general duties.

FOOD SERVICE SPECIALIST (FS)

Food Service Specialist prepares foods using the Armed Forces Recipe Service (AFRS) or other approved recipes, operates food service equipment, and maintains sanitary food service/preparations/storage areas. In addition to purchasing, receiving, and storing subsistence items and supplies, they maintain appropriate stock levels of those items. They prepare nutritionally balanced menus utilizing the Basic Four food groups, supervise the setting of tables, supervise the serving of food, making seating arrangements in wardrooms, and plan special food service functions. Maintain proper operating statements and accounting records. Senior Food Service Specialists supervise nonrates/FS personnel assigned to food service/preparation areas. They must perform subsistence tasks as assigned and are assigned in officers' quarters only when specifically authorized by the Commandant.

GUNNER'S MATE (GM)

Gunners Mates are assigned to all cutters (including WPB's 110 and above, and WLB's 180 and above); in battle they may be at the weapon systems, minor caliber gun systems or in magazines to supervise ammunition handling. The gunner's mate is responsible for operation and maintenance of weapon systems, minor caliber gun systems, machine guns and small arms; they maintain and stow ammunition, fuzes, rockets and pyrotechnics; repair or maintain weapon systems, minor caliber gun systems, machine guns, small arms, hoists, magazine sprinkler systems and the small arms training program; inspect magazines and pyrotechnics lockers for proper temperature and storage.

HEALTH SERVICES TECHNICIAN (HS)

Health Services Technicians assist in treating sick and injured personnel, in the prevention and control of disease, and the administration of health services departments; perform emergency medical care, clinical sick call, physical examinations, and assist with dental care; inspect, investigate, recommend and supervise all matters pertaining to sanitation, including the sanitary aspects of food and food handling, water, sewage and waste disposal, housing, and other environmental elements that affect health; perform disease vector surveys and give required immunizations; prepare reports of findings, recommendations and conclusions evaluating the hazards of observed occupational health matters; prescribe and dispense medications, perform clinical laboratory procedures, and assist in the procurement, storage and issue of medical supplies; instruct and counsel in health maintenance, prepare and maintain medical records and reports, and assist in preventing and treating nuclear, biological and chemical warfare casualties. Senior health services technicians perform all duties of the health service department within the limitations of their professional competence on cutters and stations in which no medical officer is attached. In addition to their general duties, health services technicians may be trained to perform specialized duties in the operating room, clinical laboratory, dental laboratory, x-ray, mental health clinic, eye clinic, physical examination clinic, and in other clinical and administrative departments. Also, health service technicians may receive technical specialized training in service schools as designed by the Commandant.

MACHINERY TECHNICIAN (MK)

Machinery Technicians operate, maintain, and repair internal combustion engines, propulsion boilers, steam turbines, and main propulsion power transmission equipment; operate, maintain, and repair auxiliary fire room, refrigeration, air conditioning, electrical and machine shop equipment; organize lead and participate in damage control repair parties, and perform engineering related administrative functions.

MARINE SCIENCE TECHNICIAN (MST)

Marine Science Technicians conduct marine safety activities and perform scientific duties. In marine safety, they investigate pollution incidents, monitor cleanups, assist marine inspectors, conduct foreign registry vessel boardings to enforce pollution and navigation safety laws, administer the Special Interest Vessel program, conduct harbor patrols and facility inspections, supervise explosive loading, monitor bulk liquid cargo transfers, serve on teams of the National Strike Force, operate and manage the Marine Safety Information System, and stand watches in the National Response Center. Their scientific duties include observing and forecasting weather for operational units such as air stations and ice breakers, observing and forecasting sea ice formation, operating the Marine Safety Laboratories, serving as system managers for Coast Guard Headquarters computer systems.

MUSICIAN (MU)

Musicians play one or more musical instruments; provide music as members of bands and orchestras for various functions and ceremonies in the interest of morale and esprit de corps; provide music for recruiting functions, public and foreign functions; and perform other musical skills as may be required in the performance of the rating.

PUBLIC AFFAIRS SPECIALIST (PA)

Public Affairs Specialist assist commanding officers in carrying out unit public affairs programs; make recommendations concerning the execution of community relations, medial relations, and internal information programs, and produce materials and coordinate activities in support of those programs; coordinate unit activities with community groups and organizations; participate in interviews with reporters on matters concerning Coast Guard activities; arrange news medial interviews with appropriate Coast Guard authority on sensitive and policy matters; prepare news releases, fact sheets, and historical material based on interviews, examination of messages and other written material, and by witnessing events; coordinate participation in special events and Coast Guard participation in radio, television, and motion picture productions; take photographs and process black and white print film in support of public affairs activities and other programs; and operate video recording and playback devises.

QUARTERMASTER (QM)

At sea, Quartermasters stand watch as officer of the deck, assistants to the officer of the deck and to the navigator; serve as helmsmen during times when precise ship control is required; perform communications, navigation, and bridge watch duties, procure, correct, use, stow navigational charts and publications; maintain navigational instruments and keep navigational time, render "honors and ceremonies" in accordance with national and foreign observance and customs; send and receive visual and voice messages, serve as Officer-in-Charge, or executive petty officer aboard WPBs, and operations officer aboard many other small cutters. Ashore, Quartermasters serve as controllers and assistant controllers in group operations centers, as assistant controllers in district and area rescue coordination centers; on the staff of the Commandant; and in billets not directly connected with the Quartermaster rating, such as AMVER Center, Vessel Traffic Services, Port Safety Stations, MSO's, Recruiting, Recruit Training Centers, and Resident Service Schools.

RADARMAN (RD)

Radarmen perform basic and control functions of CIC as plotters, operators, status-board keepers, and talkers; maintain CIC displays; advise on capabilities, limitations, and conditions of assigned equipment; apply a thorough knowledge of SAR< DAR, CIC doctrine, and procedures contained in tactical publications, and oceanographic procedures necessary for radar navigation contained in Defense Mapping Agency publications; and operate and perform preventive maintenance on search radar, ESC, IFF and associated equipment found in CIC.

SEAMAN (SN)/SEAMAN APPRENTICE (SA)

Seaman maintain vessels, boats, and shore facility structures, deck machinery and equipment, lines, and rigging; stand underway watches on board ships and boats as helmsmen, lookouts, and messengers; stand anchor, communications, and other special watches in port and at shore facilities; assist in the maintenance of aids to navigation; operate boats, booms, cranes, and winches; and act as members of gun crews and damage control parties.

SEAMAN RECRUIT (SR)

An individual undergoing recruit training to become oriented to the Coast Guard and a military environment.

STOREKEEPER (SK)

Storekeepers budget and account for purchases and requisitions; receive, inspect, issue, stow and preserve, package, ship, dispose of, reutilize, and perform inventory control for all property, equipage, supplies and materials belonging to the Coast Guard (including, but not limited to Navy NON-AV DLR equipment); maintain all allowance documentation (e.g. CALMS, ERPAL), and prepare configuration change reports and allowance change requests; prepare public vouchers, transportation requests and shipping documents; perform traffic management/transportation functions including shipments, inspections, reservations; service orders and claims relating to Government and Personnel public monies; operate office labor-saving devices and automated data processing equipment; and prepare and maintain required forms, records, publications, correspondence, reports, and files.

TELECOMMUNICATIONS SPECIALIST (TC)

The Telecommunications Specialists are responsible for the operation and management of the Coast Guard Communication System (COMMSYS) ashore and afloat twenty four hours a day. They provide value added customer support and assistance for all users of the Coast Guard COMMSYS. Telecommunications Specialists are primarily assigned to major Coast Guard cutters, communication operation, improvement, and management of all communications equipment that connects users from end to end. Telecommunications Specialists are the experts in maintaining rapid, reliable, and secure information transfer in support of Coast Guard operational and administrative requirements. The Telecommunications Specialist is a dynamic rating that possesses the skills to operate and manage a wide range of Coast Guard telecommunication equipment including computers, radios, and cryptographic equipment, encompassing the latest technological advances. The Telecommunications Specialist is the Coast Guard's first line of defense in trouble shooting and restoring network outages, including local and wide area computer, radio, and packet networks.

TELEPHONE TECHNICIAN (TT)

The Telephone Technician is a dynamic rating that possesses the skills to maintain a wide range of telecommunication systems in support of Coast Guard Missions. This rating works closely with customers and suppliers to provide professional telecommunications support. Telephone Technicians install, maintain, and repair telecommunications systems encompassing the latest technologies. Telephone Technicians develop expertise in the latest technologies. Telephone technicians develop expertise in telephone systems and equipment; voice, data and video networks; and intercom, public address and antenna systems. They also install, maintain, and repair switching and routing equipment, terminal equipment, telecommunications links and interior/exterior telecommunications distribution systems. They provide technical and engineering assistance for telecommunications network

implementation and support. Senior telephone technicians may supervise the operation of maintenance shops and act as project managers.

YEOMAN (YN)

Yeoman perform personnel, clerical, and administrative duties; prepare, type, route and file correspondence, forms and reports; maintain publications and directives, and operate typewriters and standard workstation equipment. Yeoman also furnish information on pay and allowance entitlements, coordinate travel, maintain Military Personnel Data Records (PDR) and personnel accounting records under PMIS/JUMPS. Yeoman serve as reporters for courts martial and fact finding bodies. Personnel in higher pay grades act as personnel administrators and office managers/supervisors.

Tab C - Boatswain's Mate (2d Class) Performance Qualification Standards⁷⁸

ADMINISTRATION

Maintain the following records or logs in accordance with the Abstracts of Operations Reports, COMDTINST M3123.7 (series), the Coatings and Color Manual, COMDTINST M10360.3 (series), the Rescue and Survival Systems Manual, COMDTINST M10470.10 (series), and the Naval Engineering Manual, COMDTINST M9000.6 (series):

- Unit Small Boat Logs
- Paint Log
- Anchor Log
- Hull History Card
- Rescue and Survival Equipment PMS Maintenance Logs

Maintain unit notices, instructions, and message traffic in accordance with the Coast Guard Directives System, COMDTINST M5215.6 (series), Telecommunications Manual, COMDTINST M2000.3 (series), and the Standard Subject Identification Codes (SSIC), COMDTINST M4210.5 (series).

Certify as Boat Coxswain on a boat listed in the Boat Crew Qualification Guide, COMDTINST M16114.11 (series), in accordance with the Boat Crew Training Manual, COMDTINST M16114.9 (series).

OPERATIONS AND SEAMANSHIP

Tow a trailerized small boat and launch/recover the same under the supervision of an experienced Petty Officer.

Enter required data into your unit's computer based operational reporting systems under the supervision of an experienced Petty Officer in accordance with the associated directive:

- Aids to Navigation Information System (ATONIS)
- Marine Safety Information System (MSIS)
- Search and Rescue Mission Information System (SARMIS)

PILOTING AND NAVIGATION

Maintain charts and navigational related publications in accordance with Defense Mapping Agency Catalog of Maps, Charts, and related products part 2, VOL-1 (DMACAT2VOLI1U), Chart 1 Nautical Chart Symbols and abbreviations, and Local Notice to Mariners.

Procure charts and navigational related publications using MILSTRIP format in accordance with Defense Mapping Agency Catalog of Maps, Charts, and related products part 2, VOL-1 (DMACAT2VOLI1U).

⁷⁸ Extracted from *Enlisted Qualifications Manual*, COMDTINST M1414.8B, Tab 0, pp. 1-8.

MAINTENANCE

Inspect your unit's rescue and survival systems equipment under the supervision of an experienced Rescue and Survival Systems Petty Officer in accordance with the Coast Guard Rescue and Survival Systems Manual, COMDTINST M10470.10 (series).

Perform preventive maintenance (PMS) to your unit's rescue and survival systems equipment under the supervision of an experienced Rescue and Survival Systems Petty Officer in accordance with the Coast Guard Rescue and Survival Systems Manual, COMDTINST M10470.10 (series).

TRAINING

Conduct qualification training for Boat Crewmember under the supervision of the unit Training Petty Officer in accordance with the Coast Guard Boat Crew Training Manual, COMDTINST M16114.9 (series).

ORDNANCE

Perform the duties of the unit's Weapons Petty Officer, under the supervision of the unit's Weapons Petty Officer in accordance with the Coast Guard Small Arms Manual, COMDTINST M8370.11 (Series).

Inventory and inspect approved boarding team equipment in accordance with the Coast Guard Maritime Law Enforcement Manual, COMDTINST M16247.1 (series).

Tab D - Military Requirements (MRNs) for Pay Grades E-4 to E-9⁷⁹

A. COURTESIES, DRILLS AND CEREMONIES

NONE

B. MILITARY JUSTICE AND CODE OF CONDUCT

4.01 Describe and practice the responsibilities of a Petty Officer as they pertain to the following categories, in accordance with the U. S. Manual for Courts-Martial (current series), Military Justice Manual (COMDTINST M5810.1 series), the Uniform Code of Military Justice, and Title 14, U. S. Code Section 89:

- a. EMI (Extra Military Duties)
- b. Withholding of Privileges
- c. Offense and Violation
- d. Rights of Accused
- e. Basic statutory authority of the Coast Guard under title 14 USC Sec. 89

7.01 Describe and practice the responsibilities of a Petty Officer as they pertain to the following categories, in accordance with the U. S. Manual for Courts-Martial (current series), Military Justice Manual (COMDTINST M5810.1 series), the Uniform Code of Military Justice, and Title 14, U. S. Code Section 89:

- a. mast representative
- b. pre-mast investigator

7.02 Outline the prerequisites for search and seizure aboard a Coast Guard installation/vessel as outlined in the Manual for Court Martial.

C. INTERNATIONAL ACTIVITIES

NONE.

D. SECURITY REGULATIONS

4.01 PERFORM the procedures for handling top secret, secret, confidential, and for official use only (FOUO) information in accordance with the Information Security Program (COMDTINST M5510.21 series).

4.02 DIAGRAM the procedures for loss, compromise, and unauthorized disclosure of classified matter in accordance with the Information Security Program (COMDTINST M5510.21 series).

E. BOAT AND DECK SEAMANSHIP

NONE

⁷⁹ Extracted from *Enlisted Qualifications Manual*, COMDTINST M1414.8B, Tab 32, pp. 3-16.

F. UNIFORMS, MEDALS AND AWARDS

- 3.01 Place the following awards in the correct order of Precedence using the Medals and Awards Manual (COMDTINST 1650.25A)

CG Distinguished Service Medal
Silver Lifesaving Medal
CG Good Conduct Medal
CG Commendation Medal
Medal of Honor
CG Achievement Medal
CG Meritorious Unit Commendation
CG Medal
CG Unit Commendation
Gold Lifesaving Medal.

G. CAREER INFORMATION

- 3.01 INITIATE an outline on preparing a civil rights complaint in accordance with the Military Coast Guard Civil Rights Manual (COMDTINST M5350.11series).
- 3.02 PARTICIPATE in a drug and alcohol training session presented at your command, which covers but is not limited to the following topics in accordance with the Personnel Manual (COMDTINST M1000.6 series) and the Alcohol Abuse Treatment and Prevention Program (COMDTINST M6330.1 series) and the USCG Beneficiary Guide:
- a. Coast Guard drug and alcohol policies
 - b. Duties of the Drug and Alcohol Representative (DAR & CDAR)
 - c. How to detect potential alcohol abuse
 - d. Alcohol situations
 - e. Alcohol incidents
 - f. Coast Guard required drug and alcohol training
 - g. Alcohol abuse programs
- 3.03 DISCUSS with the Health Benefits Advisor (HBA) how the following CHAMPUS policies impact members with and without dependents in accordance with Medical Manual (COMDTINST M6000.1 series) and the Handbook, DOD Pub 6010.46 (series) and the USCG Beneficiary Guide:
- a. CHAMPUS Eligibility
 - b. Coast Sharing for In and Outpatient Care
 - c. Allowable charges
 - d. Nonavailability Statement
 - e. Limitations of dependent health care coverage
 - f. DEERS Enrollment
- 4.01 Complete a Form CG-3698A, Unit Assignment request (Dream Sheet) in accordance with PPCINST M1000.2 and Personnel Manual (COMDTINST M1000.6A).
- 4.02 Outline your career path to Warrant Officer in accordance with the CG Personnel Manual (COMDTINST M1000.6A).
- 4.03 Verify your time in service, time in grade and award points for the next servicewide exam in accordance with PPCINST M1000.2 and CG Personnel Manual (COMDTINST M1000.6A).

- 4.04 DIAGRAM the appeal process for enlisted performance (COMDTINST M1000.6 series) evaluation as stated in the Personnel Manual
- 5.01 Prepare a Leave Authorization, CG-2519, in accordance with the Pay Personnel Procedures (PPCINST M1000.2).
- 6.01 INSTRUCT personnel with the Drug and Alcohol representative (DAR) or collateral duty drug and alcohol representative (CDAR) present on drug and alcohol abuse policies covering but not limited to the following in accordance with the Personnel Manual (COMDTINST M1000.6 series) and the Alcohol Abuse Treatment and Prevention Program (COMDTINST M6330.1 series) and USCG Beneficiary Guide:
 - a. Coast Guard drug and alcohol policies
 - b. Duties of the Drug and Alcohol Representative (DAR & CDAR)
 - c. How to detect potential alcohol abuse
 - d. Alcohol situations
 - e. Alcohol incidents
 - f. Coast Guard required drug and alcohol training
 - g. Alcohol abuse programs

H. FIRST AID

NONE

I. SURVIVAL

NONE

J. FITNESS, HEALTH AND WELLNESS

- 3.01 PLAN and discuss your own stress reduction with your supervisor using the Wellness Bulletin (COMDTPUB 6100.4 series) and the Fit For Duty/Fit For Life (COMDTUP 6100.2 series).
- 4.01 PLAN and discuss personal wellness program with your supervisor using the Wellness Bulletin and the Fit for Duty/Fit For Life (COMDTPUB 6100.2 series).
- 5.01 INSTRUCT to your coworkers and junior members what are the effects of stress in the workplace in accordance with the CG Wellness Bulletin (COMDTPUB 6100.4 series), CG Wellness Bulletins CY 92 (COMDTPUB 6100.7 series) and the Fit for Duty/Fit for Life (COMDTPUB 6100.2 series).
- 7.01 Discuss with a non-Petty Officer/Petty Officer their personal stress reduction program using the Wellness Bulletin and the Fit For Duty/Fit For Life (COMDTPUB 6100.2 series).

K. COAST GUARD HISTORY AND TRADITIONS

NONE

L. SAFETY AND OCCUPATIONAL HEALTH

- 3.01 PERFORM equipment tag-out procedures in accordance with the Naval Engineering Manual (COMDTINST M9000.6 series) and the Safety and Environmental Health Manual (COMDTINST M5100.47 series).

- 3.02 PERFORM necessary safety precautions before entering a nonventilated or poorly ventilated space in accordance with the Naval Engineering Manual (COMDTINST M9000.6 series) and the Safety and Environmental Health Manual (COMDTINST M5100.47 series).
- 3.03 PERFORM the proper procedure for lifting a 20 lb. box from the floor or deck in accordance with the Safety and Environmental Health Manual (COMDTINST M5100.47 series).
- 6.01 CONDUCT a training session to non-Petty Officer/Petty Officers on the rights and responsibilities of safety and environmental health in accordance with the Safety and Environmental Health Manual (COMDTINST M5100.47 series).
- 6.02 PREPARE a mishap report in accordance with the Safety and Environmental Health Manual (COMDTINST M5100.47 series).
- 7.01 List the procedures for conducting a preliminary investigation of personal injury/death and fill out a mishap report in accordance with the Safety and Environmental Health Manual (COMDTINST M5100.47 series).

M. DAMAGE CONTROL

NONE

N. SMALL ARMS

NONE

O. CG ORGANIZATION

NONE

P. VESSEL AND AIRCRAFT CHARACTERISTICS

NONE

Q. SURFACE PRESERVATION

NONE

R. SIGNALS AND COMMUNICATIONS

NONE

S. WATCHSTANDING

NONE

T. ADMINISTRATION AND CLERICAL

- 3.01 PARTICIPATE in a basic awareness of Total Quality Management (TQM) presentation at your unit in accordance with Coast Guard Total Quality Management (TQM) Generic Organization (COMDTINST 5224.7 series).
- 5.01 Verify your PCS entitlements 30 days prior to detachment in accordance with Joint Federal Travel Regulations (JFTR), Pay and Personnel Procedures Manual (PPCINST M1000.2). Submit a completed

PCS travel claim to your supervisor for review in accordance with Travel Manual (COMDTINST M4600.12 series) and Supplement to (JFIR).

5.02 UTILIZE the appropriate sections of the Personal Property Accountability (PPA) system to determine an individual's responsibilities listed below to track, use, and dispose of PPA items and related documentation requirements in accordance with Property Management Manual (COMDTINST M4500.5 series):

- a. User
- b. Custodian
- c. Property Officer

5.04 PREPARE a Short-Term Resident Training Request (CG-5223) for Class "C" training in accordance with the Training and Education Manual (COMDTINST M1500.10 series).

6.01 DRAFT the following Coast Guard correspondence in accordance with the Correspondence Manual (COMDTINST M5216.4 series):

- a. Coast Guard Basic Letter
- b. Coast Guard Business Letter
- c. Coast Guard Rapidraft Letter

6.02 DRAFT a message using proper format in accordance with the Telecommunications Manual (TQM COMDTINST M2000.3 series).

7.01 Brief personnel on procedures for submitting ideas as outlined in the Idea Express Suggestion System (COMDTINST M5305.4 series).

7.02 Review a completed travel claim for accuracy in accordance with Travel Manual (COMDTINST M4600.12 series) and Supplement to (JFIR).

7.03 Evaluate a Petty Officer training session and provide feedback in accordance with CG Training Pamphlet (D45393).

7.04 DISCUSS with a non-petty officer/petty officer their personnel stress reduction program using the wellness bulletin (COMDTPUB 6100.4) and Fit for Duty fit for Life (COMDTPUB 6100.2 series).

U. TRAINING

NONE

V. LEADERSHIP AND SUPERVISION

3.01 Using the Non-Rated Enlisted Performance Evaluation Form (CG-3788A) and the Non-Rated Enlisted Performance Evaluation Support Form (CG-3788G), EVALUATE yourself on the following performance dimensions and submit your evaluation to your supervisor for counseling and feedback in accordance with Chapter 10-B, Personnel Manual (COMDTINST M1000.6 series):

- a. Uniform
- b. Grooming
- c. Customs and Courtesies
- d. Integrity
- e. Cogitating
- f. Loyalty

- g. Respecting Others
- h. Human Relations
- i. Working with Others
- j. Responsibility
- k. Setting an Example

4.01 Using the Petty Officer Enlisted Performance Evaluation Form (CG-3788B) and the Petty Officer Enlisted Performance Evaluation Support Form (CG-3788E), EVALUATE yourself on the following performance dimensions and submit your evaluation to your supervisor for counseling and feedback in accordance with Chapter 10-B, Personnel Manual (COMDTINST M1000.6 series):

- a. Communicating
- b. Responsibility
- c. Directing Others
- d. Working with Others
- e. Developing Subordinates
- f. Looking Out for Others
- g. Setting an Example
- h. Military Bearing
- i. Customs and Courtesies
- j. Integrity
- k. Loyalty
- l. Respecting Others
- m. Human Relations

4.02 DESCRIBE and practice the responsibilities of a petty officer as they pertain to the following categories in accordance with the U. S. Manual for Courts-Martial, Military Justice Manual (COMDTINST M5810.1 series), the Uniform Code of Military Justice, and Title 14, U.S. Code Section 89:

- a. Extra Military Instruction (EMI)
- b. Withholding of Privileges
- c. Offense and Violation
- d. Rights of the accused
- e. Basic Statutory Authority of the Coast Guard under Title 14, U.S. Code Section 89

5.01 Using an Enlisted Performance Evaluation Forms (CG-3788A or B) and the Enlisted Performance Evaluation Support Forms (CG-3788E, or G), EVALUATE a subordinate on the following performance dimensions and submit the evaluation to your supervisor for feedback in accordance with Chapter 10-B, Personnel Manual (COMDTINST M1000.6 series):

- a. Communicating
- b. Responsibility
- c. Directing Others (Form CG-3788B only)
- d. Working with Others
- e. Developing Subordinates (Form CG-3788B only)
- f. Looking Out for Others (Form CG-3788B only)
- g. Setting an Example (Form CG-3788B only)
- h. Military Bearing (Form CG-3788B only)
- i. Customs and Courtesies
- j. Integrity
- k. Loyalty
- l. Respecting Others
- m. Human Relations

- 5.02 WITH your supervisor present and using the Enlisted Performance Evaluation Report (CG-3788B) and Enlisted Evaluation Support Form (CG-3788E) prepared by you, counsel a subordinate in accordance with Chapter 10-B Personnel Manual (CCOMDTINST M1000.6 series).
- 5.03 Using the Petty Officer Enlisted Performance Evaluation Form (CG-3788B) and the Petty Officer Enlisted Performance Evaluation Support Form (CG-3788E), EVALUATE yourself on the following performance dimensions and submit your evaluation to your supervisor for counseling and feedback in accordance with Chapter 10-B Personnel Manual (COMDTINST M1000.6 series):
- a. Communicating
 - b. Responsibility
 - c. Directing Others
 - d. Working with Others
 - e. Developing Subordinates
 - f. Looking Out for Others
 - g. Setting an Example
 - h. Military Bearing
 - i. Customs and Courtesies
 - j. Integrity
 - k. Loyalty
 - l. Respecting Others
 - m. Human Relations
- 6.01 Using the Enlisted Performance Evaluation Support Form (CG-3788E or G), CONDUCT a pre-evaluation counseling session to a newly assigned member (junior to you) to your unit and explain their general duties and responsibilities . Reference: Chapter 10-B Personnel Manual (COMDTINST M1000.6 series).
- 6.02 Using the Petty Officer Enlisted Performance Evaluation Report (CG-3788B) and the Enlisted Performance Evaluation Support Form (03-3788 E), EVALAUTE a subordinate on the following performance dimensions of his or her leadership abilities, and submit the evaluation to your supervisor for feedback in accordance with Chapter 10-B Personnel Manual (COMDTINST M1000.6 series):
- a. Communication
 - b. Responsibility
 - c. Directing Others
 - d. Working with Others
 - e. Developing Subordinates
 - f. Looking Out for Others
 - g. Setting an Example
 - h. Military Bearing
 - i. Customs and Courtesies
 - j. Integrity
 - k. Loyalty
 - l. Respecting Others
 - m. Human Relations
- 6.03 Using the Enlisted Performance Evaluation Report (CG-3788B) and Enlisted Evaluation Support Form (03-3788E), COUNSEL a junior member in accordance with Chapter 10-B, Personnel Manual (COMDTINST M1000.6 series).

6.04 PREPARE an Administrative Remarks Sheet (03-3307) and submit it to your supervisor for review on the following performance behaviors in accordance with Personnel and Pay Procedures Manual PPCINST M1000.2 & Chapter 10 (Encl. 6).

- a. Exceptional
- b. Substandard

7.01 EVALUTE and counsel an individual (junior to you) on his or her ability to evaluate others in accordance with Chapter 10-B, Personnel Manual (COMDTINST M1000.6 series).

7.02 WITH your supervisor present and using the Enlisted Performance Evaluation Report (CG-3788B) and Enlisted Evaluation Support Form (CG-3788E) prepared by you, COUNSEL a junior member on his or her performance evaluations in accordance with Chapter 10-B, Personnel Manual (COMDTINST M1000.6 series).

7.03 Using the Chief Petty Officer Enlisted Performance Evaluation Form (CG-3788C) and the Chief Petty Officer Enlisted Performance Evaluation Support Form (CG-3788F), EVALUATE yourself on the following performance dimensions, and submit your evaluation to your supervisor for counseling and feedback in accordance with Chapter 10-B, Personnel Manual (COMDTINST M1000.6 series):

- a. Communicating
- b. Responsibility
- c. Directing Others
- d. Working with Others
- e. Developing Subordinates
- f. Looking Out for Others
- g. Getting an Example
- h. Military Bearing
- i. Customs and Courtesies
- j. Integrity
- k. Loyalty
- l. Respecting Others
- m. Human Relations.

7.04 PREPARE an award recommendation on an individual assigned to your unit and submit it to your supervisor for review in accordance with The Coast Guard Medals and Awards Manual (COMDTINST M1650.25 series).

8.01 CONDUCT a unit/division training session on the enlisted evaluation system. In accordance with Chapter 10-B, CG Personnel Manual (COMDTINST M1000.6A).

9.01 COMPLETE the USCG Chief Petty Officer Academy or any of the Department of Defense Senior Enlisted Academies in accordance with Chief Petty Officer's Academy (COMDTINST 1500.15 series).

W. PUBLIC AFFAIRS

6.01 DRAFT a public affairs news release in accordance with the Public Affairs Manual (COMDTINST M5728.2 series) and the Privacy and Freedom of Information Act Manual, COMDINST M5720.3 (series).

6.02 INSTRUCT juniors on the policy of releasing and selling photographs and videotaping of Coast Guard activities in accordance with the Public Affairs Manual (COMDTINST M5728.2 series) and the Privacy and Freedom of Information Act Manual, COMDTINST M5720.3 (series).

Tab E - Summary of Types of Discharge

DISCHARGE TYPE	CRITERIA	REASONS
Honorable	Proper military behavior and proficient performance of duty with due consideration for the member's age, length of service, grade, and general aptitude in accordance with prescribed evaluation marking levels. Not necessarily denied because of a specific disciplinary action; limited set of special considerations may indicate an honorable discharge.	<ul style="list-style-type: none"> • Expiration of enlistment. • Fulfillment of service obligation. • Unqualified resignation (officers).⁸⁰ • Failure of selection for promotion (officers). • Administrative separation for cause.⁸¹ • Convenience of the Government (e.g., failure to meet weight standards, failure of an enlisted person to attain prescribed rank under High Year Tenure policies). • Dependency or hardship. • Minority. (Age) • Unsuitability. • Misconduct (except involvement with illegal drugs or obstructing drug urinalysis testing by tampering). • When directed.
General	<p>Member (a) has been either identified as a user or distributor of illegal drugs or paraphernalia; or has tampered with drug urinalysis samples, supplies, or documentation; and or (b) conditions of (a) are present and the member's evaluation marks and performance record do not meet established minimums.⁸² (Enlisted).</p> <p>Administrative separation for cause when the cause of separation or the member's performance record precludes an honorable discharge, but is not of such a nature to preclude a discharge under other than honorable conditions. (Officers).</p>	<ul style="list-style-type: none"> • See criteria column. • Demonstrated downward trend in performance. • Failure to progress in proficiency compared with peers. • Failure to exercise leadership. • Failure to discharge assignments. • Failure to meet weight standards. • Apathy, defective attitude, character disorder or behavior disorder. • Intentional failure to meet financial obligations. • Mismanagement of personal affairs. • Misrepresentation of facts in official statements or records. • Personal misconduct. • Homosexuality or homosexual conduct. • Negligence in performance of duties. • Conduct unbecoming an officer. • Drug or alcohol incident. • Sexual harassment. • Act not consistent with national security interests. • Prescribed acts when taken in combination.

⁸⁰ Personnel Manual, COMDTINST M1000.6A, para. 12-A-6a.

⁸¹ *Ibid.* Only for reasons specified in para. 12-A-15c.(1) and (5); no aggravating circumstances may be present.

⁸² *Ibid.* Final average marks are less than those shown in 12-B-2f.(1)(b), or the Commandant directs a general discharge after a review of the member's overall military record.

DISCHARGE TYPE	CRITERIA	REASONS
Discharge under other than honorable conditions	As recommended by an administrative discharge board in lieu of a court martial. The criteria of a general discharge may be applied when "severe circumstances" are present. ⁸³	<ul style="list-style-type: none"> • Misconduct. • Security reasons. • Good of the Service. • Resignation in lieu of dismissal (officers). • Resignation for good of the service. • Conviction by civil authority for criminal charges.
Bad conduct	As directed in the sentence of a general or a special court martial.	<ul style="list-style-type: none"> • See criteria column.
Dishonorable	Pursuant to sentence of a general court martial.	<ul style="list-style-type: none"> • See criteria column.
Dismissal ⁸⁴ (=dishonorable discharge)	Pursuant to sentence of a general court-martial.	<ul style="list-style-type: none"> • See criteria column.
Uncharacterized discharge	Within 180 days of active service, the member demonstrates poor proficiency, conduct, aptitude or unsuitability for further service during the period from enlistment through recruit training.	<ul style="list-style-type: none"> • See criteria column.

⁸³ *Ibid.* "Special circumstances" include the tampering with evidence in drug seizure cases, distribution for a profit, distribution to other Coast Guard members or distribution to minors.

⁸⁴ *Ibid.*, para. 12-A-2.e. Equivalent to a dishonorable discharge.

Chapter 3.

Reserve Component Profile

The Reserve component is similar in most respects to the active component. Key exceptions include: (1) the contingent nature of Reserve work versus the full time nature of the active component, and (2) the more localized focus of Reserve component management (“hire them where you need them”) versus the nationwide management of the active component (“move them where you need them”). This chapter details those areas of the workforce model (Figure 1 of chapter 1) in which management of the Reserve component differs from that of the active component.

Disposition

Structure & Personnel Categories

Background

The Coast Guard Reserve is identical to the active component in most respects. Its personnel are grouped into the same general categories of *enlisted*, *chief warrant officer* and *commissioned officer*. Its personnel are accountable to the same chain of command. Its personnel compete for enlisted advancement and officer promotion under similar, but parallel tournament-style systems. It depends on the same administrative infrastructure, and – with the exception of a few specialized operating units – operates the same facilities, equipment and platforms as the active component. However, there are three key factors that distinguish the Coast Guard Reserve from the active component.

First, the Coast Guard Reserve is a contingent workforce. It exists primarily to “provide an organized, quick response, military force in ratings and skills required to supplement the active (duty) Coast Guard during surges and during routine operations.”⁸⁵ Until its recent integration into the active Coast Guard, the Reserve component existed as a quasi-independent organization. The Reserve maintained its own command structure, maintained much of its own equipment, and conducted its own training. The Reserve was established in 1941 to supplement America’s warfighting capability on the eve of World War II. Today, as reservists train for everything from routine operations to regional conflict, the Reserve retains its legislative roots in Title 10, U.S. Code, “Armed Forces” and not in Title 14, U.S. Code, “Coast Guard.” This distinction carries over into the budget process where the Reserve Training appropriation originates in the Armed Services Committees.

The Coast Guard Reserve is influenced by legislation that primarily addresses the needs of the Reserve components within the Department of Defense (DOD). The DOD paradigm dominates the terms of Title 10,⁸⁶ limiting the Coast Guard’s flexibility in tailoring the Reserve to meet Coast Guard-unique needs. Prior to the 1990’s, the DOD Reserve components focused their readiness training energies on one target: general war with the Soviet Union and its client states. Reservists, who served primarily in stand-alone Reserve units with their own equipment, were expected to mobilize under Executive or Congressional mandate and “round out” active duty units at the onset of hostilities. Title 10 thus reflects a Cold War requirement for forces that wield a massive, quickly deployable, and global reach. Congress and DOD still wrestle with accommodating the activities of a Coast Guard Reserve that do not fit neatly into the organizing framework of combat, combat support and combat service support units. This tension ultimately stems from the differing missions of the Coast Guard vis a vis the other four armed services.

The Coast Guard is significantly different from the other four Armed Forces. The Army, Navy, Marine Corps, and Air Force exist primarily to fight wars, and although they may be used for operations other than war, including domestic emergencies, only a small part of their resources are

⁸⁵ _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, para. 1-A-1.

⁸⁶ The seven Reserve components and their date of establishment: Army National Guard (federal involvement in National Guard training was formalized in 1903), Army Reserve (1916), Navy Reserve (1916), Marine Corps Reserve (1916), Air National Guard (1916), Coast Guard Reserve (1941), and Air Force Reserve (1946). *1995 Reserve Forces Almanac*, 21st edition, pp. 132-152.

so employed. The Coast Guard, on the other hand, uses almost all of its resources daily during peacetime to accomplish a broad range of missions, most of which have little to do with war.⁸⁷

Third, the Coast Guard Reserve is a *localized* military workforce. Due to the part time nature of a reservist's service obligation, as well as the requirement to minimize travel distances between a member's home and the unit, Reserve accessions are managed on the basis of "recruit them where you can use them." This differs from the active component where accessions are managed on a nationwide basis. Processes designed to manage the Coast Guard's active component are not readily adapted to meet the needs of the localized, *part time* Reserve workforce.

Example: If a need exists for an active duty Fire Control Technician (FT) on an Alameda-based cutter, and no active duty FT is available in Alameda, the Coast Guard may issue transfer orders to an active duty FT from elsewhere in the country. If that same cutter needed a Reserve FT, and no reservist with comparable skills is available within a "reasonable commuting distance"⁸⁸ of the cutter's home port, the billet will remain vacant indefinitely.

These three characteristics of the Coast Guard Reserve – its role as a contingency workforce, the tension between the DOD paradigm and the Coast Guard's peacetime-wartime mission mix, and the localized nature of Coast Guard Reserve management – pose special challenges for Reserve Program managers. Policies intended to ensure Reserve Program efficiency, parity with the DOD and equity in personnel processes often result in a management approach that is too aggregated to meet the local needs of the Coast Guard or the individual reservist.⁸⁹

Reserve Categories

The Reserve component is comprised of three categories: the Ready Reserve, the Standby Reserve, and the Retired Reserve. Each category is comprised of two or more segments.

⁸⁷ Brinkerhoff, John R. and Stanley A. Horowitz, *Active-Reserve Integration in the Coast Guard*, Institute for Defense Analyses. October 1996. pg. I-2.

⁸⁸ Reasonable commuting distance: 100 miles or 3 hours distance by auto where government quarters and messing are available; 50 miles or 1.5 hours where quarters and messing are not available. While this standard is codified for the DOD Reserve components at 32 CFR 100(e); the Coast Guard has adopted this standard for reasons of parity with the other services. See *Reserve Policy Manual*, COMDTINST M1001.28, para. 2.B.5.

⁸⁹ An example clarifies this point. Reserve officers compete against their peers for promotion on the Inactive Duty Promotion List in an up-or-out tournament system, just as active duty running mates compete on the Active Duty Promotion List. To identify tournament "winners," a selection panel compares the relative performance of the candidates and selects individuals who appear best qualified for service at the higher rank. However, while selection panels screen a *nationwide* pool of candidates for promotion, the requirement for officer labor varies widely by geographic *location*. The result: good performing officers can be promoted out of a billet and into an undesirable, non-pay status while they await assignment to an available billet.

The Ready Reserve provides people for immediate active duty in the event of a war or national emergency. It is comprised of the Selected Reserve (SELRES) and the Individual Ready Reserve. The Standby Reserve category is a holding status for reservists who are not assigned to the Ready Reserve or the Retired Reserve. Members are either placed in *active status* or *inactive status*. The Retired Reserve is intended for reservists who have met the requirements for satisfactory federal service and age, and who have requested transfer to retired status. There are three sub-categories to the Retired Reserve. Each of these segments – as well as an overview of their intended purposes – are listed in Table 13.

Most Reserve Program systems, funding and infrastructure support the Selected Reserve (SELRES); this study limits its scope to the management concerns of the SELRES accordingly.

Table 13 - Segments of the Coast Guard Reserve

Component Category	Purpose ⁹⁰	Typical Use as a Manpower Resource ⁹¹
Ready Reserve		
Selected Reserve (SELRES)	Category of reservists who have the highest priority for mobilization and who therefore participate in inactive duty training and annual training in a pay status.	<ul style="list-style-type: none"> • IDT drills per year (typically 4 hours per drill/2 drills per day each month). • Two weeks, paid active duty for training per year. • Various forms of voluntary, temporary active duty. • Appropriate Duty (a type of training duty performed during a three to eight hour period, equivalent for pay and retirement point purposes to one paid IDT drill period). • Presidential Selected Reserve Call-up. • Partial Mobilization. • Full Mobilization. • Involuntary Active Duty for Domestic Emergencies.
Individual Ready Reserve (IRR)	Holding status for personnel without an obligation to serve in the SELRES. Includes accessions serving out their eight year military service obligation; reservists drilling in an unpaid status; non-drilling reservists.	<ul style="list-style-type: none"> • Non-paid IDT drills. • Various forms of voluntary, temporary active duty. • Appropriate Duty (a type of training duty performed during a three to eight hour period, equivalent for pay and retirement point purposes to one paid IDT drill period). Can be performed with or without pay. • Partial Mobilization. • Full Mobilization.
Inactive Duty Reserve Flag Officers	Two Reserve officers designated as senior Reserve officers for the Atlantic and Pacific areas. Advises the Area commander, Reserve component commander, DOD Reserve component leadership and Commandant on matters of particular interest and concern to the Coast Guard Reserve.	<ul style="list-style-type: none"> • Active Duty for Special Work in support of the Reserve Component.
Standby Reserve		
Standby Reserve (Active Status)	Consists of people who are unable to fulfill their service obligations due to personal hardship, Key Federal Employee status, schooling or service in the Peace Corps.	<ul style="list-style-type: none"> • Mobilization during time of war or national emergency when the Commandant determines that the Ready Reserve is insufficient to meet force requirements.
Standby Reserve (Inactive Status) (ISL)	Includes the following categories of officers: unobligated officers who request assignment; those who have failed of selection for promotion or continuation; officers who do not meet minimum participation standards. Also includes all personnel who exceed weight standards.	<ul style="list-style-type: none"> • Same as above.
Retired Reserve		
RET-1	Retired, receiving pay.	<ul style="list-style-type: none"> • Same as above.
RET-2	Retired, awaiting age 60 to collect retirement pay.	<ul style="list-style-type: none"> • Same as above.
RET-3	Retired without entitlement to pay, usually due to twice failing of promotion.	<ul style="list-style-type: none"> • Same as above.
Reserve Physical Disability Retirees.	Self-explanatory.	<ul style="list-style-type: none"> • Not a mobilization resource.

⁹⁰ _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, para. 1.C.1 - 1.C.7.

⁹¹ Mobilization authorities cited in *Coast Guard Manpower Mobilization and Support Plan*, Appendix A, para. B.

Most members of the Selected Reserve (SELRES) report directly to active duty commands for operational control and administrative support. In DOD parlance, this makes the Coast Guard SELRES a force of *Individual Mobilization Augmentees* (IMAs), Ready Reservists who train and mobilize at an active force command as an individual, rather than as an element or part of a Reserve unit.⁹² This contrasts sharply with DOD's Reserve components in which there are fewer than 27,000 IMAs in a force of 972,625 people -- or 2.75% of DOD's combined SELRES and IMA force. (Note that, while DOD's Reserve command structure will continue into the foreseeable future, the Secretary of Defense recently directed the DOD services to eliminate

...all residual barriers - structural and cultural - for effective integration (of reservists) within our Total Force...By integration I mean the conditions of readiness and trust needed to have well-justified confidence that Reserve Component units are trained and equipped to serve as an effective part of the joint and combined force...in peace and war.)⁹³

In addition to augmenting active duty commands, the SELRES staffs specialized contingency units. Examples of contingency units include the following:

- Port Security Units: Provide deployable harbor defense/port security units consisting of waterside and shoreside safety and security elements to safeguard port operations for combatant commanders;
- Harbor Defense Commands: mixed Navy and Coast Guard commands that provide command and control of port operations for combatant commanders; and
- Coast Guard Element, Joint Transportation Reserve Unit (JTRU): a cadre of Coast Guard reservists that augments the staff of Commander, U.S. Transportation Command in coordinating the throughput of military forces at airports and seaports of embarkation. The JTRU places particular emphasis on time sensitive planning and execution of orders to move early deploying forces overseas.

Reserve ranks and insignia are identical to the active component. The contingent nature of the Reserve reflects the component's emphasis on a workforce of skilled *technicians*; this follows from the component's mission to provide a "military force in ratings and skills required to supplement the active (duty)."

The functional labor requirements expressed by active duty commands often conflict with the career development needs of senior Reserve (enlisted and officer) personnel. In the military culture, senior ranks normally oversee the work of juniors, and provide mentoring, leadership and management expertise. It is far easier for a junior reservist to augment a functional work requirement than it is for a senior to insert himself into the unit chain of command on a part time basis. As a result, reservists in senior enlisted and officer ranks find fewer assignments at field units and more opportunities in intermediate and Headquarters level staff jobs.⁹⁴ Three years after a major active/Reserve force integration effort began, the Coast Guard continues to consider ways to better harness the military and civilian capabilities of its senior reservists. The FY96 Coast Guard Reserve Policy Board reported that:

⁹² _____, (U.S. Coast Guard). *Reserve Forces Policy Board Annual Report FY95*, Chapter 3. Cited via the Internet at <http://raweb.od.mil>.

⁹³ Cohen, William. "Integration of the Reserve and Active Components," Secretary of Defense policy memorandum of September 4, 1997.

⁹⁴ _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, para. 4.C.7.b.

many reserve officers are concerned that the role assigned to them by their active duty command may not benefit them for promotion or retention. Nor will that role further their training or experience base to enable them to succeed in future assignments or mobilization...

Meaningful employment of senior reservists must be a high priority with field commanders. Innovative assignments, which consider both Coast Guard and civilian skills, must be sought out. High level studies, investigations, and special projects offer opportunities. Also, existing and emerging response management systems require skills and experience which senior reservists can provide (i.e., COTP FOSC/UCS organizations, Coast Guard Forces/N-staff, National Interagency Incident Command System). These assignments are in addition to the limited number of reserve command advisor billets. Eventually these officers will retire and new junior officers will be promoted through new career paths emphasizing operational qualifications.⁹⁵

While the active component's need for part time labor limits operational opportunities for senior reservists, the same is not true for Chief Warrant Officers (CWOs). The Policy Board also noted that "...(w)arrant officers do not have the same career path concerns as senior enlisted members or commissioned officers. Warrant billets on the Reserve Personnel Allowance List are all designated at the CWO4 level and reflect the use of a specialty."⁹⁶ As was noted in Chapter 2, "Active Component Profile," the regular Coast Guard strikes a tentative balance between using the CWO's leadership skill as a manager or focusing on the CWO's capabilities as a super-technician.

As has already been discussed, the operational control of reservists resides with the parent command. Support of Reserve personnel administration needs (e.g., compensation) flows from the Headquarters Office of Reserve and Training through the Maintenance and Logistics Commands to Force Optimization and Training staffs.

⁹⁵ _____, (U.S. Coast Guard). *FY 1996 Coast Guard Reserve Policy Board Report*. See <http://www.dot.gov/dotinfo/uscg/hq/reserve/rpb96/rpbhome.htm>.

⁹⁶ *Ibid.*

Programming Process

The resource process for Reserve manpower is related to, but substantially different from, the PAL process. Like the active component, Reserve billets are prioritized and assigned to the Reserve Personnel Allowance List (RPAL); reservists fill these billets at specified OPFACs. RPAL reflects the differing – often competing – claims on Reserve manpower: national defense needs identified in the contingency planning process and listed on the Contingency Personnel Allowance List (CPAL), and a part time demand for work to support peacetime operations.⁹⁷

The requirement for Reserve augmentation, long viewed as a residual of on-the-job, contingency-related training, did not begin with the implementation of RPAL. In fact, Congress first announced a desire to leverage the Reserve as a part time source of labor as early as 1969.⁹⁸ However, for the first time, RPAL acknowledges the Reserve's

⁹⁷ _____, (U.S. Coast Guard), *Reserve Personnel Allowance List*, COMDTINST 5320.1, para. 4.B.

Contingency manpower needs are identified in a DOD-style planning process coordinated by the Area commanders and the Headquarters operating program managers. These requirements are forwarded from the Areas to Headquarters, where they are translated into aggregate needs for personnel strengths, skills, pay grades and manpower allocation.

Prior to active/Reserve force integration in FY94, port level planners documented needs from the *demand* perspective, “hard wiring” reservists into specific contingency billets. These contingency requirements were then validated and forwarded up the chain of command, until they eventually entered the budget process at the Headquarters level. However, this system for identifying demand for a Reserve workforce was not widely embraced, either as a contingency planning tool or as a workforce planning tool. In fact, while it was linked to the resource process by policy, the connection was tenuous at best as requests for warfighting resources fell below “bread and butter” missions such as law enforcement, search and rescue and marine safety. Chronic underfunding and a planning process based on global war guaranteed a Reserve force that was too small and unable to meet the demands of overstated wartime requirements.

Three things happened to rectify these problems. The end of the Cold War obviated the need for a large Reserve to assist U.S. forces in repelling Soviet aggressors. A series of domestic emergencies and international crises exposed gaps in plans that did not allow for a more measured use of the armed forces. Last, the need to shrink the federal deficit threatened to reduce personnel strength without a reduction in statutory mission requirements. As a result, the Service worked to leverage a rich mix of full time and part time resources under the rubric of “Team Coast Guard” (*Policy for Plans to Integrate Reserve and Active Forces*, COMDTINST 5310.2, para. 3).

The roll out of the “Team Coast Guard” concept in FY94 redirected the focus of Coast Guard contingency planning and human resource planning. Active duty performance in PAL billets, coupled with SELRES performance in RPAL billets, would prepare the total workforce for national defense and domestic contingencies. At the same time, the integrated use of both components would maximize the returns on public investment in all Coast Guard training. RPAL, the last mechanism to help integrate the active and Reserve forces, was implemented October 14, 1997.

⁹⁸ In 1969, the House Appropriations Committee stated: “A peacetime mission must be found for the Coast Guard Reserve...Training and missions in the civilian or peacetime activities of the Coast Guard would provide tangible benefits to the taxpayers (as well as to the development of reservists).” In 1972, when the Nixon Administration’s budget would have eliminated the Coast Guard, Congress renewed its support for the Coast Guard Reserve and warned: “...support needed to meet any requirements currently the responsibility of the Selected Reserve will be funded as an element of the Navy Reserve Appropriation.” Quoted in “Strategic Planning and Reserve Capability Study “ (1989) and cited by Brinkerhoff and Horowitz, op cit., pg. III-6 - III-7.

contribution to the continuum of Coast Guard missions that range from peace to general war. Moreover, it integrates a formalized process for managing the part time military needs of the Coast Guard, providing the intellectual foundation needed to sustain Reserve augmentation for several years to come.

From the manager's perspective, RPAL includes many data elements that are identical to what is captured in PAL for the active and civilian components. In addition, for the purposes of this study, RPAL offers three additional pieces of information not currently captured by the PAL process: relative *priority* of each billet, the *training class* for each billet, and a *grade range*.

- *Priority*. The priority of billets is assigned a four digit code, made up of two parts. Overall priority is assigned a one-digit priority code using a three point ordinal scale (1="must fill," 2="should fill," and 3="may fill"). Within each priority grouping, billets are ranked by sequential number. The priority is assigned by the billet requester, but it may be reprioritized as the billet programming or reprogramming request migrates through the resource process.
- *Training Class*. To ensure that the Coast Guard Reserve can meet its highest priority contingency missions, each billet is assigned to a training class. This five digit code allows the human resource establishment to systematically validate claims on, prioritize requests for, budget, and forecast demand for resident and nonresident training resources. See the "Qualifications" section of this chapter.
- *Grade Range*. As has already been mentioned, the Coast Guard Reserve must balance demand for Reserve labor with the supply. In this regard, the Coast Guard Reserve is more like a civilian employer than the active component: reservists are recruited locally to meet local work requirements. By allowing a limited degree of freedom in required rank and pay grade, the Coast Guard increases its returns to Reserve training, provides an incentive for the incumbent's advancement or promotion, and allows for increased flexibility in the assignment decision.

RPAL differs from PAL in one additional and essential way: RPAL pushes billet resource ownership – including many reprogramming decisions – farther down the chain of command than is allowed under the PAL process. Within certain limits, unit commanders may: move billets within the command, alter the grade of a billet by one pay grade, and amend qualification requirements.⁹⁹ Operational commanders above the field unit level are given the discretion to identify billet offsets within their area of responsibility. Staffs at Integrated Support Commands, Maintenance and Logistics Commands and Headquarters monitor and measure outcomes of human resource activities. This process stands out in sharp contrast to the PAL process whose rigidity is due in large part "to a political process that ties specific (active duty billets and civilian positions) to mandated missions."¹⁰⁰

Reservists perform duty because the member participates in training, because the member accepts a voluntary call to active duty, or because the member has been called involuntarily to active duty. These types of duty are summarized in Table 14 below.

Note that voluntary active duty may or may not count against active component end strength (as measured by the incremental consumption of full time equivalents). Active duty (for reasons other than training) is discussed below in "Assignment and Transfer."

⁹⁹ _____, (U.S. Coast Guard), *Reserve Personnel Allowance List*, COMDTINST 5320.1, Enclosure (3), "Procedures for Reprogramming Existing RPAL Billets and for Requesting New RPAL Billets," pp. 2-8.

¹⁰⁰ *Ibid.*, pg. 2.

Table 14 - Types of Reserve Duty

Category of Duty	Specific Type	Purpose	FTE Limit?	Pay/Non-Pay	Typical Duration
Inactive Duty for Training (IDT) ¹⁰¹					
	Single & Multiple IDT Drills	<ul style="list-style-type: none"> Augmentation. Formal training. Activities in support of Coast Guard missions. 	No	Pay and Non-Pay	Single drill: not less than 4 hours performed on one calendar day. Multiple drill: 2 IDT periods, each not less than 4 hours, performed on one calendar day.
	Appropriate Duty	<p>For pay:</p> <ul style="list-style-type: none"> Augmentation in excess of paid drills. Formal training. Mobilization training. Selection panel duty. Participation in servicewide examination (SWE). <p>For non-pay:</p> <ul style="list-style-type: none"> IRR participation in (SWE). Legal assistance. Authorized seminars. Assistance to civic organizations (e.g., scouting). 	No	Pay and Non-Pay	At least 3 hours but not to exceed 24 hours; time served consecutively or incrementally; no more than one appropriate duty period in one day.
Active Duty for Training (ADT) ¹⁰²					
	Annual Training (ADT-AT)	<ul style="list-style-type: none"> Maintain rating or billet related skills. 	No	Pay	SELRES: 12-15 days per FY (consecutive or nonconsecutive). Reservists with drill obligation & no IDT drill site: 30 days ADT-AT.
	Initial Active Duty for Training (IADT)	<ul style="list-style-type: none"> Initial military entry training. 	No	Pay	Duration varies by the recruit's enlistment program.
	Other Training Duty (ADT-OTD)	<ul style="list-style-type: none"> Training in addition to IADT or ADT-AT. 	No	Pay or Non-Pay	Duration varies by training assignment.
Active Duty for Other Than Training Duty (ADOT)					
	Involuntary Active Duty	<ul style="list-style-type: none"> Response to national emergency declared by Congress or the President under Title 10. Domestic emergency recall initiated by Secretary of Transportation under Title 14. 	No	Pay	Title 10, U. S. Code: varies betw. 270 days (Presidential Selected Reserve Recall) & the duration of a war + 6 months (full mobilization). 14 U.S.C. 712: 30 days in 4 mo. period/60 day in 24 mo. period.
	Voluntary Active Duty for Emergency Operations	<ul style="list-style-type: none"> Response to domestic emergency initiated under 10 U.S.C. 12301(d). 	No	Pay	10 officers + 100 enlisted on active duty for no more than 30 days (district commander's authority).
	Active Duty for Special Work in support of the Active Component (ADSW-AC)	<ul style="list-style-type: none"> Temporary active duty to provide support for Coast Guard missions not related to Reserve training. 	Yes	Pay	Duration varies by assignment.
	Active Duty for Special Work in support of the Reserve Component (ADSW-RC)	<ul style="list-style-type: none"> Temporary active duty to provide direct support to the Reserve Component. 	No	Pay or Non-Pay	Duration varies by assignment.
Regular Active Duty					

¹⁰¹ _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, 2.A.1 - 2.A.7.

¹⁰² *Ibid.*, 3.A.1.

Distribution Across ATUs (Specialty/Pay Grade)

“On board” SELRES strength totaled 7,378 in July 1997 in the enlisted, chief warrant officer and commissioned officer ranks – or 7.8% below its FY97 authorized end strength of 8,000.¹⁰³

Enlisted	6,163
Warrant Officer	204
Commissioned Officer	1,011
Total	7,378

The total slightly overstates SELRES end strength. Current business practice temporarily assigns members who leave active duty before completing their eight-year military service obligation to the SELRES. Members who do not elect transfer to the SELRES within 59 days of separation from the active component are placed in the Individual Ready Reserve, and are eventually discharged from the military.

Costs (Type & Expense Calculation)

As with the active and civilian workforce components, standard personnel costs for reservists are included in Appendix IV to this paper. SELRES members serve 24 days of IDT (at 8 hours per day of IDT) and 12.5 days of ADT-AT (at 8 hours per work day) each year – for a total of 36.5 days per year. Pay and allowances are paid on the basis of participation in IDT (calculated at one day of base pay per 4-hour drill period) and ADT-AT (calculated at one day of base pay plus allowances for each day of active duty). Since the average reservist is in a duty status 1/10th of one full time active duty year (i.e., 36.5 days compared with 365 days for a member of the active component), personnel support costs are estimated at ten percent of equivalent active duty costs. For reference, a Reserve pay chart is attached to this chapter as Tab **Error! Not a valid link.**

¹⁰³ PMIS data extract dated July 18, 1997.

Accessions

To meet its targets for enlisted, CWO and commissioned officer strength, the Reserve relies on the accession of civilians with no prior military service, individuals who have previously served in the Coast Guard, and people who have prior military service in another branch of the armed forces. In addition to the items addressed below, the selection criteria for the active component apply to Reserve accessions.

Note that all civilians who enlist in any component of the armed forces incurs an initial military service obligation (MSO) of between six and eight years, as prescribed by the respective service.¹⁰⁴ Like the DOD, the Coast Guard has adopted an eight year MSO.¹⁰⁵ While the majority of active component members who leave active duty never serve a day in uniform as a reservist, the Coast Guard gains a large percentage of its SELRES accessions from those who transfer from the active component into a drilling status (“RELADs”) and those who separate from the military entirely and later affiliate with the Coast Guard Reserve (“prior service”). The balance of SELRES accessions are obtained through the recruiting of civilians who have no prior service.

Unlike the regular Coast Guard, non-prior service recruiting in the Reserve Program has fallen below established targets for the past two years. This shortfall is due in part to a recruiting organization that has absorbed repeated cuts in staffing since the early 1980s, and due in part to the challenge of using a military recruiting structure for the localized staffing needs of the Coast Guard Reserve. Reductions in Recruiting Program “presence” are summarized in Table 15. Constraints on the recruiting organization aggravate the Reserve’s challenge of attempting to recruit small numbers of high school graduates with a desire to obtain a particular skill in the right location. These problems are magnified as the Coast Guard Reserve competes with others—the active duty Coast Guard, the other five armed services and their respective Reserve components, and the private sector—for candidates who meet the relatively strict eligibility criteria for membership in the military.

Table 15 - Reductions in Recruiting Program Capacity

Time Frame	Organization	Amount of Presence
Early 1980s	District recruiting staff Recruiting offices Recruiting detachments	12 district staffs 5-person recruiting offices in population centers 1-person detachments in outlying areas
Mid 1980s	District recruiting staff Recruiting offices	12 three-person district staffs 5-person Recruiting offices in population centers
Late 1980s	Regional recruiting commands Recruiting offices	3 regions 99 recruiting offices
1995	Coast Guard Recruiting Center (CGRC) Recruiting Sectors Recruiting offices	1 CGRC 5 Sector staffs (2 people each) 67 recruiting offices

¹⁰⁴ 10 U.S.C. 651.

¹⁰⁵ _____, (U.S. Coast Guard). *Recruiting Manual*, COMDTINST M1100.2C, para. 3-A-3.a

Enlisted Accessions

The Headquarters Forecasting and Systems Staff, which serves as the Reserve workforce planner, monitors three enlisted accession sources: the recruitment of people into the SELRES from outside of the Coast Guard, the internal accession of people who transfer to the SELRES from elsewhere in the Coast Guard, and Reserve petty officers who pursue a “lateral change in rating” from one enlisted specialty to another.

External Recruitment

Reserve Program and Recruiting Program managers work to attract high school graduates who are between the ages of 17 and 27, and who have no prior Coast Guard experience. Seven points of entry comprise the Reserve’s external recruitment channel. For the sake of clarity, these programs are summarized in Table 16. Enlisted recruits attend initial entry training (“boot camp” or REBI, as defined in Table 16) at Cape May, NJ.

Table 16 - External Recruitment Programs¹⁰⁶

Category	Purpose	Target Group/ Eligibility	Post-Recruitment Training Requirements
RP	Recruit & train non-prior service members.	Ages 17-27 HS diploma	<ul style="list-style-type: none"> Initial military entry training ("boot camp") (8 weeks). Up to 6 months at Class "A" school (guaranteed at enlistment) immediately after boot camp . 6 year SELRES obligation/2 years IRR.
RY	Recruit & train non-prior service members.	Ages 18-27 HS diploma	<ul style="list-style-type: none"> Boot camp (8 weeks). OJT to obtain rate-specific training (30 days, performed consecutively). May request Class "A" school during first 3 years of enlistment. Complete E-3 performance qualifications within one year of release from IADT.
RK	Recruit & train non-prior service students.	Ages 17-27 Full time student	<ul style="list-style-type: none"> Phase I: Boot camp (8 weeks). Interphase: IDT augmentation between Phases I and II. Phase II: Class "A" school (guaranteed at enlistment) or OJT if school quota not available.
RX "Direct Entry Petty Officer"	Recruit & train non-prior service members with skills that qualify them for enlistment.	Ages 26-35	<ul style="list-style-type: none"> Reserve Enlisted Basic Indoctrination Course (REBI) (meets entry-level training requirement) (2 weeks). Complete rating correspondence courses within first 2 years of assignment to IDT site.
RM Maritime Academy Reserve Training Program" (MARTP)	Recruit state maritime academy underclassmen for service to the Marine Safety Program as an officer of the Coast Guard or Coast Guard Reserve.	Freshman/Sophomore standing at specified state maritime academies.	<ul style="list-style-type: none"> Phase I: Modified MARTP (2 weeks). Phase II: ADT-AT at IDT site (2 weeks). Phase III: Reserve Officer Candidate Indoctrination Course (ROCI) for MARTP graduates (if selected) (3 weeks); active duty Coast Guard OCS or DCO (if selected); or enlisted service in the SELRES. IDT drills between phases.
RN	Recruit members from other services who still have a MSO.	Age: E-3 - under 30 E-4 & above - under 40	<ul style="list-style-type: none"> REBI (2 weeks).
RQ	Recruit members with prior service and no MSO remaining.	Age: E-3 & above - under 27	<ul style="list-style-type: none"> Prior CG: REBI if no active participation in CG in the past 5 years. Prior Other Service: REBI. May also attend Class "A" school (if available).

Internal Accession

Internal accessions to the SELRES include RELADs who still must complete the requirements of their MSO (RJs) and members of the Individual Ready Reserve (IRR) who qualify for and request assignment to pay status in a RPAL billet. RJs in pay grade E-3 and above, who are under the age of 27, may affiliate with the SELRES. RJs may request a quota to Class "A" school, but are not guaranteed assignment to schooling.

Lateral Changes in Rating

As has been discussed at length, the contingent and localized nature of the Reserve imposes several constraints on the Coast Guard and on reservists themselves. Enlisted members who desire the increased rank, pay, responsibility and

¹⁰⁶ *Ibid.*, Chapter 5.

prestige of advancement may find themselves over-qualified for RPAL billets within a reasonable commuting distance of their home. As demonstrated in the example of a Reserve FT recruiting vacancy in Alameda discussed earlier in the chapter, an active duty unit may experience an unmet demand for Reserve labor in a critical rating over the long term while they experience a surplus in other ratings.

One tool to relieve both of these constraints is the lateral change in rating in which a reservist in one rating changes occupational specialty to a different rating. Completion of the lateral change requires that the reservist complete all performance qualifications for the rank and pay grade of the new rating in accordance with the Enlisted Qualifications Manual, meets the eligibility criteria to compete for advancement, and places above a minimum cutoff on the normatively scored, cognitive Reserve Servicewide Examination.¹⁰⁷ In addition, one of three conditions must be met to enable a reservist to pursue a lateral change in rating.

1. En masse changes of rating caused by the elimination or establishment of a rating. For example, at the end of the Cold War, the Coast Guard determined that it no longer required the Sonar Technician rating (ST). Besides early separation compensation packages, STs were also offered the opportunity to pursue a lateral change in rating in order to continue their Coast Guard career.
2. Non-rates, in whom the Coast Guard has invested little rating-specific training, may change their general ratings from one occupational category to another. “General ratings” describe the two apprentice categories of the Coast Guard: the Fireman Apprentice and Fireman prepare for engineering and hull ratings, while the Seaman Apprentice and Seaman prepare for specialties in deck, ordnance, administrative and science ratings.
3. Individual lateral changes in rating, in which a reservist requests a change to another rating while continuing in the same pay grade. In this case, the member must complete all requirements for the rating and successfully test into the new rating at that pay grade in order to complete the lateral change.

Commissioned and Warrant Officer Accessions

Unlike the active component, accessions to the commissioned officer corps (O-1 and above) and the CWO corps (W-2) are determined by a two-phase selection. Panels convene at the district level to screen candidate packages, selecting those individuals whose records indicate the most potential for greater responsibility and (in the case of CWOs) the best mix of CWO-specialty skills. Districts rank order the finalists and forward their recommendations on to the Coast Guard Personnel Command, where final selections are made on a “best qualified” basis.

Accessions to the Reserve’s CWO corps originate from the enlisted Coast Guard Reserve only. Reserve CWOs are not required to attend the Chief Warrant Officer Indoctrination Course within a year of commissioning, as are their active component counterparts.

Accession to the Reserve officer corps – that is, the commissioning of an officer who is placed on the Inactive Duty Promotion List – occurs through one of three channels.

¹⁰⁷ _____, (U.S. Coast Guard), *Reserve Policy Manual*, COMDTINST M1001.28, para. 7.C.3.

- *RRDC.*

Enlisted reservists and civilians may apply for the Ready Reserve Direct Commission program (RRDC). Most successful candidates attend a three-week Reserve Officer Candidate Indoctrination course (ROCI), receiving their commission in the Coast Guard Reserve upon graduation. RRDC selectees with sufficient experience, requisite skill and leadership potential may be commissioned at a higher rank (up to Lieutenant).

¹⁰⁸ RRDC selectees are assigned to RPAL billets upon returning to their home unit.

- *RELAD.*

Graduates who receive Reserve commissions upon completion of Officer Candidate School or any active duty direct commissioning programs, as well as any active duty officer who has not completed the eight year MSO upon release from active duty (RELAD), may transfer directly to the Inactive Duty Promotion List and compete for assignment to RPAL billets.

- *R-to-R.*

Through the “Regular-to-Reserve” or “R-to-R” program, officers leaving regular active duty for any reason – including those who separate for “failure of selection for promotion” – may request transfer to the Inactive Duty Promotion List (IDPL) and for assignment to a RPAL billet. The Coast Guard Personnel Command convenes an annual panel to consider R-to-R applications; successful candidates are tendered a commission, normally at one pay grade below the rank in which they last served on active duty.

¹⁰⁸ Attendance at ROCI is waived in the case of a candidate whose record documents, in the opinion of the RRDC selection board, that the member is ready for immediate commissioning in the Coast Guard Reserve.

Occupations

Enlisted Ratings and Chief Warrant Officer Specialties

Reserve performance in specific ratings is derived from augmentation and training requirements generated by RPAL, and by the national defense-related requirements of the CPAL. With the exception of a few RPAL billets designated for fill by non-rated personnel, active duty demand for Reserve labor focuses almost entirely on the availability of journeyman petty officers. While reservists serve in most of the ratings identified for fill by the active duty Coast Guard (see Chapter 2, “Active Component Profile”), there are two noteworthy exceptions: aviation ratings and emergency ratings.

- *Aviation Ratings.*

In 1992, the Headquarters Office of Law Enforcement and Defense Operations reported that it could meet its CPAL requirement for deployable C-130 flight crews and engineering support through active duty staffing. This effectively eliminated the justification for Reserve support of the Coast Guard Aviation Program. Consequently, in 1993, the Coast Guard directed that:

“(Members of the Reserve) in aviation ratings shall be transferred to the IRR. Upon approval to pursue a lateral, individuals shall be considered for transfer back to the SELRES based on availability of billets...While (reservists in the aviation ratings are) in the IRR, individuals shall be given the opportunity to drill in a non-pay status in pursuit of the approved lateral.”¹⁰⁹

- *Emergency Ratings.*

The primary tactic used to implement the Team Coast Guard concept was to erase the bright line between “active duty” and “Reserve” wherever appropriate.¹¹⁰ Integration is an important means to achieving economies in staffing, personnel management, and acculturation of reservists to active component norms. However, there is a limit to the degree to which all workforce management processes should be integrated. In fact, the notion that “one size” must fit both military components overlooks a primary strength of the Reserve: adaptability to specialized performance needs. It is this concept that created and sustains the notion of emergency ratings.

The term *emergency rating* is part of the working vocabulary of Reserve Program management.¹¹¹ It refers to three ratings that do not exist in the active component rating structure (Port Securityman (PS), Data Processing Technician (DP),¹¹² and Investigator (IV)¹¹³). The scope of these ratings is described in **Error! Not a valid link.** Each was established specifically to perform highly focused duties under a Cold War mobilization; however, at least two of the three have adopted valuable roles under augmentation. Table 17 describes the original role of these ratings and their current use under Team Coast Guard.

¹⁰⁹ ALCOAST 074/93.

¹¹⁰ _____, (U.S. Coast Guard). *Policy for Plans to Integrate Reserve and Active Forces*, COMDTINST 5310.2, para. 1.

¹¹¹ There is no statutory definition for the term; the *Reserve Policy Manual* makes only two references to the term. However, according to Forecasting and Systems staff, the term is identified in the *Navy Manpower Management Manual*.

¹¹² The Coast Guard no longer recruits people into the DP rating; DPs currently in the Reserve were recruited several years ago.

¹¹³ The only accessions to the IV rating are either through the RX recruiting program, or by lateral changes in rating at the level of E-4 or above.

For example, IVs provide the Coast Guard with a dedicated cadre of Reserve investigators who hold employment in civilian law enforcement and intelligence agencies. In contrast, active duty agents of the Coast Guard Investigative Service (CGIS) serve out of specialty for up to six years before they are returned to duties in their rating. While assigned to CGIS, active duty agents experience difficulty in completing the rate-related performance qualifications needed to compete for advancement. IVs, who serve an entire career in support of CGIS, provide a substantially greater return to the Coast Guard's investment in OJT than do active duty agents.

Thus, the emergency rating concept is more than an artifact of the Cold War; it supplements the Coast Guard's inventory of critical skills. Through its emergency ratings, the Reserve adds *depth* in skills for which the demand exists only in a limited set of contingencies (e.g., the security enforcement aspects of the PS rating), as well as *breadth* in skills that exist in limited quantity in an active component population that experiences a high rate of turnover (e.g., the IV's ability to refine investigator skills over a 20-year career in specialty, as opposed to an active duty petty officer who serves "out of rate" for no more than six years).

Table 17 - Emergency Ratings

Rating	Original Purpose	Current Use
DP	Manage the processing of mobilization-related Reserve personnel data through an automated data processing computer system known as "MOBSYS." MOBSYS and its enabling policies were canceled in 1993 when Reserve Program managers decoupled Reserve peacetime training assignments from CPAL billets.	In the aftermath of the Cold War and increasing reliance on distributed information systems, there is a high degree of mismatch between DP rating qualifications and the Coast Guard world of work. Consequently, DPs now perform duties associated with personnel and network administration. (This last role is very similar to the use of TC petty officers as Regional System Managers).
IV	Perform personnel security background investigations.	Perform personnel security background investigations; provide criminal investigative and intelligence support to the Coast Guard Investigative Service.
PS	Provide wartime Port Safety and Security protection of U.S. ports. In part, this was done to safeguard the movement of military cargoes to the war front, and in part to prevent the disruption of critical economic activities.	Perform a wide range of related duties in support of the Marine Safety and Security Program. Rating revised to reflect a high degree of commonality with the active duty Marine Science Technician rating. Retains responsibility for limited access area enforcement in support of Port Safety and Security.

Commissioned Officers

Reserve officers receive commissions in the "unrestricted line," and are assigned an *officer experience indicator code* that is identical to the primary occupational specialty codes listed in Chapter 2, "Active Component Profile." Reserve officers develop their skills by performing IDT and ADT-AT at an active duty command, and by attending class "C" school.

Special Skills

Training: Billet Classification

The concept of Reserve training is premised on the requirement that active and Reserve work performance must be seamless. In order to meet this expectation, active duty commands are expected to invest in Reserve training. Investment takes the form of challenging, rate-related work assignments, career counseling, advocacy for Reserve personnel needs, and – when appropriate – assignment to resident training.

The RPAL offers a systematic means to facilitate this training process. RPAL provides reservists with valuable OJT while at the same time increasing the Coast Guard's supply of skilled, part time, military labor. It accomplishes this task through the assignment of *training classifications* that identify RPAL billets as *site specific*, *class specific*, *skill specific*, and *non-specific*.¹¹⁴ These terms are defined as follows.

- *Site Specific*

A CPAL requirement exists at an OPFAC such that, in order for the Coast Guard to meet its contingency planning commitments, a reservist with a particular rating must be assigned to an RPAL billet at that command. Examples include the Coast Guard's deployable Port Security Units and the Coast Guard element of Navy Harbor Defense Commands. Training and team building in these commands are the only effective ways to sustain mission effectiveness. Site specific RPAL billets represent the Coast Guard Reserve's highest priority of fill.

- *Class Specific*

A CPAL requirement exists for a skill set that applies to a class of Coast Guard unit. Training at any command in that class will allow the Service to meet its contingency planning commitments. An example of a class-specific RPAL billet could be a Radarman (RD) qualified in operating a type of sensor that exists on any of the Coast Guard's 378-foot high endurance cutters (WHECs).

- *Skill Specific*

The contingency preparedness planning process identifies a requirement for an aggregate number of individuals with a particular skill. The skill can be obtained and maintained at a number of Coast Guard units. For example, the Coast Guard Reserve must have the capability to provide a number of facility inspectors to ensure the safe movement and handling of military cargoes destined for a regional war. This skill can be acquired in most U.S. ports.

- *Non-Specific*

A CPAL requirement exists for the performance of duty that requires a minimum of advance training. An example would be the requirement for reservists to perform general facilities maintenance at a Coast Guard command.

¹¹⁴ _____, (U.S. Coast Guard). *Reserve Personnel Allowance List*, COMDTINST 5320.1, enclosure (1), pg. 2.

Training: Resident Training

Reserve training primarily occurs in one of two types of duty status: “inactive duty for training” (IDT) and “active duty for training - annual training” (ADT-AT). The issues of RPAL assignment and IDT duty are discussed in the “Assignment” section below. The issue of ADT-AT, when the tour of duty is served in attendance at formal training, is discussed in this section.

The active and Reserve components share a common training infrastructure. There are few active component courses that reservists may not attend, and even fewer Reserve-only resident training courses. The constraint on Reserve attendance often results from course *duration*, in which a course that lasts longer than two weeks discourages Reserve participation, and *capacity*, in which active component members receive priority of assignment to high demand courses over their Reserve counterparts.¹¹⁵

As a result of force integration, the Coast Guard has de-emphasized training *duration* as one criterion for assigning reservists to training – which was an unspoken rule of the pre-integration Reserve Program. Rather than placing reservists in courses that fill the two-week annual training requirement, supervisors of reservists now assign their reservists to training opportunities that meet the long-term interests of the reservist and of the reservist’s augmented command. Increasingly this means that resident training is either shorter than two weeks (in which the reservist serves the balance of ADT-AT on the job, encoding newly acquired skills), or that are longer than two weeks.

For example, to better equip RRDC candidates for the challenges of commissioned service, ROCI was expanded in FY94 from two weeks in duration to three weeks. The additional week allows students to receive “vastly improved opportunities for situational leadership, role playing, study and team building without unduly fatiguing students or staff.”¹¹⁶

Training: Emerging Questions of Control

Does an integrated force *necessarily* result in a better trained Reserve? Team Coast Guard is too new and the systems needed to measure workforce performance are just now under development. However, there are two types of concerns surrounding Reserve workforce optimization that have begun to emerge.

- *Functional Work Assignments vs. Career Development*

First, an active duty command that views its Reserve augmentation needs purely in functional terms may inadvertently stunt the long term development of its Reserve personnel. With only 36 days of duty available per year, tasking that is not rate-related may detract from the reservist’s ability to retain proficiency in their assigned rate, or to prepare for advancement.

An indication that this may be occurring was documented in a 1997 “customer” (i.e., active duty command) and “member” (i.e., reservist) appraisal. Asked whether reservists enjoy “equal opportunities to attend formal training,” 61 percent of the customer population and a 43-percent plurality of members responded that reservists did not. The potential thus exists for reservists who

¹¹⁵ Federal law prohibits employers from taking adverse job action against reservists who participate in various forms of active duty. However, as a practical matter, the nature of the civilian employment relationship often overshadows legal mandates. Employers are used to thinking of the Reserve active duty requirement as two weeks in length. Active duty of any kind that lasts longer than two weeks can impose an economic hardship on the employer, the reservist-employee or both.

¹¹⁶ Headquarters Reserve Training Division decision memo 1500 of December 14, 1994 to the Chief, Headquarters Office of Readiness and Reserve.

might require resident training to consistently lose out to active duty members in receiving school quota assignments.¹¹⁷

- *Local Control vs. Nationwide Objectives*

Second, active duty commands, who now exercise direct “ownership” over their assigned reservists, can be expected to retain reservists for local missions year round. In the long run, strong, local ownership may actually lead to the sub-optimization of Reserve resources on a servicewide scale.

For example, in a compromise reached in the 1970s, the Service kept several search and rescue (SAR) stations in the Ninth Coast Guard District open on a seasonal basis in exchange for congressional authorization to fund temporary active duty orders for reservists. With less ownership over Reserve resources exercised by active duty commands, the redeployment of reservists to the Great Lakes for “Operation SUMMER STOCK” was relatively transparent. In FY94, 59 percent of the SUMMER STOCK workforce came from outside the Ninth District. Now, under Team Coast Guard, increased local control over Reserve labor may limit the number of reservists who will travel across the country to support missions such as SUMMER STOCK.

Nonresident Training

In an attempt to lower the cost of training infrastructure, the Coast Guard has considered various nonresident alternatives to schoolhouse training. Innovations in this area may yield particular benefits to reservists. Reservists complete various correspondence courses in off duty hours, earning credit towards retirement, as well as enhancing their rating-related skills and general knowledge.

Qualification, Certification & Currency

Reservists are subject to the same requirements for qualifications, certification, and currency as their active component counterparts. Some qualification codes (e.g., small boat coxswain qualification) require that the member demonstrate a high degree of proficiency as often as every six months. In order to retain currency, many reservists perform training over and above their obliged training requirement.

Each RPAL billet is coded with up to two qualification codes as necessary: the first code identifies a primary enlisted qualification code; the second identifies whether the incumbent must be proficient in the use of weapons. Qualifications may be required at the local level, but the unit is responsible for managing the attainment, certification and currency of these additional qualifications.

¹¹⁷ Survey results published as an insert to *The Reservist*, 54 (9), September 1997. More study of this issue is clearly warranted. Prior to active/Reserve force integration, reservists were encouraged to attend schools annually regardless of specific performance needs; thus, in many cases, it is possible that the Coast Guard *over-invested* in resident training for reservists. Example: in the early 1990s, while evaluating the continued need for explosives handling (EHS) training, the Headquarters Office of Marine Safety, Security, and Environmental Protection found that the number of reservists who had attended EHS training greatly exceeded the EHS staffing requirement.

Promotion

As was discussed in Chapter 2, up-or-out tournament systems—particularly in the officer corps—introduce a *push* and a *pull effect* on the supply of Reserve labor. Considering inconsistencies in the way labor is valued, the natural result of Reserve promotion systems is a persistent mismatch between centralized personnel systems and the local nature of Reserve labor demand and supply.

Enlisted Advancement

Enlisted reservists compete against each other for advancement, using a process that is substantially similar to the active duty Servicewide Exam process. For the purposes of this study, please note the following items.

- Only reservists compete on the Reserve Servicewide Exam. Enlisted reservists on extended active duty may compete on the active duty Servicewide Exam under certain conditions.
- The final multiple for advancement does not include sea time, as does the active component.
- There is no Servicewide Examination for members of the DP rating. All other advancement eligibility requirements must be met. Servicing Integrated Support Commands may advance or authorize a lateral change in rating for DPs in pay grade E-4 to E-6. The Reserve Personnel Management Division of the Coast Guard Personnel Command (CGPC-rpm) authorizes DP advancements into the pay grades E-7 to E-9 on a case-by-case basis.

Commissioned and Warrant Officer Promotion

The process used to manage the promotion of Reserve commissioned and warrant officers on the Inactive Duty Promotion List (IDPL) is similar in most functional respects to the promotion of officers on the Active Duty Promotion List (ADPL). Reserve officers¹¹⁸ are assigned an active duty running mate who “shall be that officer on the active duty promotion list of the same grade who is next senior in precedence to the Reserve officer concerned.”¹¹⁹ The Reserve officer is considered for promotion when the ADPL running mate is considered.¹²⁰

Senior officers, who successfully compete for promotion on a “best qualified” basis, often find themselves promoted out of a paid RPAL billet into non-pay status. Many officers in this group, who are interested in pursuing future promotions, or who want to earn additional points towards retirement, perform duties on a non-paid basis. While this by-product of the up-or-out system helps the system sort “hard chargers” (whose commitment to the Coast Guard Reserve motivates them to work essentially for free) from those who do not, it is symptomatic of the mismatch between requirements based workforce planning and the personnel management requirements generated by the promotion system itself.

¹¹⁸ For the purposes of this study, the term Reserve officer is used to describe commissioned and chief warrant officers assigned to the IDPL only.

¹¹⁹ 14 U.S.C. 726(a).

¹²⁰ _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, para. 7.A.7.

Assignment and Transfer

RPAL Assignment Methodology

Force Optimization and Training staffs are expected to use a set of guiding principles to optimize the quality of match between the SELRES member and the RPAL requirement. The criteria used are *specialty*, *grade*, *qualification*, and *location*. These guidelines consider the assignment of SELRES members from the perspective of Reserve labor supply, demand and personnel flows; they are defined in enclosure (4) of *Reserve Personnel Allowance List*, COMDTINST 5320.1.

- *Specialty.*

The specialty (enlisted rating or officer experience indicator) required by the billet is the most important consideration for two reasons. First, the central requirement of any billet is the skill required to satisfy the unit's demand for labor. Second, an out-of-specialty assignment helps mask the unit's true labor demand: "To do anything else would result in hiding the vacancy, and the system would not be aimed at filling it."¹²¹

- *Grade.*

The pay grade of the individual is the next most important assignment consideration. For many billets, RPAL identifies a range of pay grades that will satisfy the active duty command's work requirements. Assignment officers (AOs) work to assign individuals meeting the most junior end of the range in order to allow for career development of the incumbent, and to provide stability and return on training investment to the active duty command. When considering the grade criterion, the AO accounts for the unit's capacity to train the individual, and whether an undesirable rank inversion will result from the assignment (e.g., where an assigned reservist outranks the active duty supervisor).

- *Qualification.*

RPAL may specify a qualification for the billet that represents a skill requirement in excess of what exists in the Coast Guard Reserve's occupational structure. Given a workforce that is promoted nationally but is assigned locally, RPAL limits billet descriptions to one qualification because "with finite training time available, and limited opportunities to maintain currency in a skill, it is quite possible to 'over-specify' a billet."¹²²

¹²¹ _____ (U.S. Coast Guard). *Reserve Personnel Allowance List*, COMDTINST 5320.1, enclosure (4), pp. 3, para. 2.

¹²² *Ibid.*, pg. 4, para. 3.

- *Location.*

The Service may not require a member to drill involuntarily beyond a reasonable commuting distance from his/her home.¹²³ Besides being required by policy, assignments within RCD assure the unit commander that reservists will be available within a reasonable period at the onset of a contingency. The RCD policy poses a special challenge to AOs who must fill billets that are classified as site or skill specific billets (that frequently support time sensitive Service commitments to other agencies),¹²⁴ as well as billets in senior enlisted and officer grades that tend to exist in a limited number of locations within the AO's area of responsibility.

Active Duty Assignments

While this study focuses on the Reserve as a source of part time labor, the greatest contribution of a fully staffed and fully capable SELRES is its use as a contingency workforce. The Congress and OMB place strict controls on the use of reservists for active duty to enforce budget discipline and to prevent the Coast Guard from surreptitiously conducting work with reservists that was not authorized by the budget process. The Coast Guard can access Reserve full time labor using eight separate pathways:

- Annual training (ADT-AT) when the reservist performs duty at a Coast Guard command;
- Active duty for other training duty beyond annual training (ADT-OTD);
- Active duty for special work in support of active component (ADSW-AC);
- Active duty for special work in support of the Reserve component (ADSW-RC);
- Voluntary active duty for emergency operations;
- Extended active duty (EAD); and
- Involuntary active duty.

Before summarizing these forms of active duty in tabular form, it is important to address the context in which the Coast Guard operates. Specifically, there is a continuum of operating activity against which the Coast Guard allocates its resources. It runs from non-emergent peacetime operations to contingencies up to and including global or "general" war. Regardless of where crises place the Coast Guard on this continuum, the public demands that the Coast Guard will perform all of its statutory missions. Economic theory tells us that constraints such as time, budget and luck induce scarcity, and scarcity forces managers to stretch resources in a way that maximizes utility. Thus, the Coast Guard works to optimize resource allocation in order to cover as much of the operational continuum as it can. When the tempo of operations exceeds the capacity of active and civilian components, the Coast Guard relies on its Reserve workforce and its Auxiliary to supplement its staffing and thus to meet the operational surge. (Note that, for specialized units such as OCONUS-deployable Port Security Units, reservists constitute the *primary* source of manpower rather than a supplementary source).

Table 18 describes the types of Reserve active duty, their statutory basis, whether FTE constraints apply, the maximum duration of duty authorized, and its intended usage.

¹²³ See footnote 88.

¹²⁴ AOs may fill site specific billets by offering the member a decision that renders the assignment virtually involuntary: accept assignment to the site specific billet or face involuntary transfer out of a pay status into the IRR. This is the least desired tool for the AO to use.

Table 18 - Types of Reserve Active Duty

Type	Purpose	Statute	Peacetime FTE Constrained (Y/N)	Max. Duration	Reserve Category Activated + Usage Limits
Active Duty for Training Status					
ADT-AT	Maintain specialty skills (annual training requirement).	10 U.S.C. 10147	N	14 days. ^{125,126}	• SELRES only.
ADT-OTD	Training in addition to ADT-AT.	10 U.S.C. 12301(d)	N	Variable.	• SELRES (pay or non-pay); IRR (non-pay only).
Temporary Active Duty					
ADSW-AC	Temporary active duty in support of CG missions.	10 U.S.C. 12301(d)	Y	Up to 365 days. ¹²⁷	• Members of the Ready Reserve or the Standby Reserve.
ADSW-RC	Temporary active duty in support of USCGR.	10 U.S.C. 12301(d)	N	Up to 365 days. ⁵⁰	• Members of the Ready Reserve or the Standby Reserve.
Full Time-Permanent Active Duty with the Coast Guard					
Extended Active Duty	Full time active duty in the active component.	10 U.S.C. 12311(a)	Y	5 years.	• Members of the Ready Reserve or the Standby Reserve.
Active Duty in Response to a Contingency					
Voluntary Emergency Active Duty	Self-explanatory.	10 U.S.C. 12301(d)	N	30 days.	• All categories. • Limit: 10 officers and 100 enlisted (using district commander's authority).
Involuntary Active Duty	Emergency Augmentation of Regular Forces.	14 U.S.C. 712	N ¹²⁸	30 days per 4 month period/ 60 days per 2 year period.	• Members of the Ready Reserve.
	Presidential Selected Reserve Call-up (PSRC).	10 U.S.C. 12304	N	270 days.	• SELRES only.
	Partial Mobilization.	10 U.S.C. 12302(a)	N	24 months.	• Members of the Ready Reserve.

¹²⁵ Reservists who have an obligation to drill in the SELRES, but who reside beyond RCD far from a drill site may serve up to 30 days of ADT-AT.

¹²⁶ By policy, the Coast Guard requires 12-15 days of ADT-AT each year, not counting 2 days for travel to the site of ADT.

¹²⁷ Assigned on an annual basis; can be extended at the beginning of a new fiscal year, depending upon the needs of the Service.

¹²⁸ 14 U.S.C. 712 as amended by P.L. 104-324, sec. 204.

	Full Mobilization (General War).	10 U.S.C. 12301(a)	N	Duration of the emergency plus an additional 6 mos.	<ul style="list-style-type: none"> Members of the Ready Reserve, unless a documented need for a specific skill necessitates the recall of retirees.
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Separation from Service

The SELRES is characterized by a higher degree of movement, both in the form of transfers to and from the active component as well as between categories of the Reserve component itself (IRR, Standby Reserve, Retired Reserve). This is not the case with members of the active duty workforce. Typically, active component members either leave the Service entirely or enter a Reserve status. However, like their active duty counterparts, reservists separate from the Service through four avenues:

- they are discharged;
- they are discharged due to a physical disability;
- they are transferred out of the SELRES and into a *separate* Reserve category; or
- they retire.

See Chapter 2 of this study for a discussion of the types and causes of separations.

Sizing the Force Through Forced Attrition

From a population of approximately 12,000 members in 1989, SELRES strength has steadily decreased to 7,378 by 1997 – a drop of 39 percent.¹²⁹ In the aftermath of the Cold War, interest on the part of successive administrations, the Congress, and the public at large turned towards aggressive reductions in the federal budget. In the period 1989 through 1996, the RT appropriation – adjusted for inflation at the historic average rate of three percent – actually declined 18.7 percent in real terms.¹³⁰

In the early rounds of budget cuts, the Coast Guard first reduced RT investment in infrastructure services it no longer relied upon. At the same time, it involuntarily transferred out of the SELRES individuals that failed to meet various participation standards (e.g., failure to participate in a satisfactory number of IDT drills, failure to meet weight standards, etc.). While difficult to absorb, these cuts exerted minimal impact on the Reserve Program's ability to sustain a healthy workforce. However, in FY94, facing a \$9 million reduction in the RT appropriation, the Coast Guard was forced to remove an additional 2,000 members from the SELRES. Table 19 describes the loss in specialties caused by the FY94 downsizing. While some of these people were discharged from the Coast Guard, the majority were transferred to the IRR or the Standby Reserve.

Within two years of the FY94 downsizing, SELRES strength “bottomed out” in the range of 7,200 to 7,400 members – a persistent shortfall of eight to ten percent.

¹²⁹ _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, para. 1.B.4.

¹³⁰ Brinkerhoff and Horowitz, op cit., pg. IV-5.

Table 19 - Specialty Losses Incurred by the FY94 SELRES Downsizing

Specialty Area	Reservists in Specialty Lost
Aviation Support <ul style="list-style-type: none"> • Enlisted aviation ratings; and • Commissioned officers (aviators). 	120
Operations <ul style="list-style-type: none"> • Commissioned officers; • Warrant officers; • Deck and ordnance group ratings and non-rated personnel. Includes: <ul style="list-style-type: none"> - <i>Boatswain Mates lost: 214</i> - <i>Port Securitymen lost: 562</i> 	1,379
Hull and Engineering <ul style="list-style-type: none"> • Warrant officers; • Engineering group ratings and non-rate personnel. 	551
Administrative <ul style="list-style-type: none"> • Warrant officers; • Administrative and scientific group ratings. Includes: <ul style="list-style-type: none"> - <i>Yeomen lost: 146</i> 	400
Other Commissioned Officers	57
Total Number of Reservists Lost	2,507

Officer Management Systems

The up-or-out promotion system serves the same purpose in the Reserve officer corps as it does for the active component officer corps. In addition, the Secretary of Transportation may convene “retention” boards when:

it is necessary to reduce the number of Reserve officers in an active status in any grade to provide a steady flow of promotion, or (when) there is an excessive number of Reserve officers in an active status in any grade.¹³¹

Officers who are not retained are transferred to inactive status in the Standby Reserve (also known as being placed on the “Inactive Status List” or “ISL”). Only a partial mobilization or full mobilization of forces for general war can recall a person from the ISL. For the purposes of this study, an individual transferred to the ISL should be considered as the equivalent of a separation from the Service.

¹³¹ 14 U.S.C. 741.

Enlisted High Year Tenure (HYT)

The Coast Guard Reserve's only implementation of HYT occurred in FY94. Faced with the challenge of identifying an equitable tool to reduce the size of the SELRES, the Reserve Program adapted a "Professional Growth Point" (PGP) standard similar to the active component's HYT program. Over half of the SELRES personnel cut in FY94 (1,200 members) were enlisted reservists who exceeded their PGPs.

The Coast Guard has been hesitant to revisit the issue of implementing HYT in the Reserve force, and not simply because of the disastrous effect that PGP had on morale. The Headquarters Forecasting and Systems Staff has determined that the Reserve – whose mission is to provide "an organized, quick response, military force in ratings and skills required to supplement the active (duty) Coast Guard during surges and during routine operations" – is enhanced by having skilled, experienced junior petty officers.

Discharge

In addition to types and reasons for discharge described in Chapter 2, reservists may be discharged for the following reasons.

- Member has reached age 60 and will not have completed 20 years of satisfactory federal service by the time he/she reaches age 62.¹³²
- Member requests transfer to another service.¹³³
- Member is an officer who fails of selection to the next higher rank, and is not retirement eligible.¹³⁴
- Member has failed to meet minimum participation standards.¹³⁵
- Member is a Reserve officer who has failed to meet certain requirements for membership, including the following:¹³⁶
 - failure to keep the Coast Guard informed his/her official residence;
 - failure to answer official correspondence; and
 - failure to complete commissioning prerequisites.
- Member requests separation due to extreme hardship visited on the member's community by his/her absence.¹³⁷

¹³² _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, para. 8.A.3.

¹³³ *Ibid.*, para. 8.A.4.

¹³⁴ *Ibid.*, para. 8.A.8.

¹³⁵ *Ibid.*, para. 4.B.

¹³⁶ *Ibid.*, para. 8.A.10.c.

¹³⁷ *Ibid.*, para. 8.B.9.

Retirement

Title 10, U.S. Code is the controlling legal authority for Reserve retirement. The reservist is transferred to one of three Reserve retirement categories, provided they have met criteria for satisfactory federal service, age, and have requested transfer to retired status. See Table 20 for a summary of Reserve retirement authorities.

Table 20 - Reserve Retirement Authorities

If the member has completed this many years of satisfactory federal service...	...and the member has ...	then the member is assigned to this retirement category.
20	reached age 60	RET-1: retired with pay. ¹³⁸
20	has not reached age 60	RET-2: retired, awaiting pay at age 60. ⁶²
20	met eligibility criteria for rank and age ¹³⁹	RET-3: retirement without entitlement to pay.
--	served 30 years of total commissioned service and are serving as a captain (O-6).	RET-1 or RET-2 as appropriate.

¹³⁸ 10 U.S.C. 12739.

¹³⁹ _____, (U.S. Coast Guard). *Reserve Policy Manual*, COMDTINST M1001.28, para. 8.C.6.

Summary

The Reserve component provides the Coast Guard with the ability to surge its military workforce to address any mission along the operational continuum from peacetime requirements to general war. Consisting of a number of different personnel categories, the core of the Coast Guard Reserve is the Selected Reserve. Unlike Reserve components in the other armed services, members of the Coast Guard Reserve are assigned directly to active duty commands where they provide a part time source of manpower as they attain and retain proficiency in their respective specialties. A limited number of reservists serve in “contingency units” such as the OCONUS-deployable Port Security Units, which are staffed almost entirely by reservists. Through the performance of duty in these contingency units, as well as through three emergency ratings, the Reserve component provides depth and breadth in capabilities that do not exist elsewhere in the Coast Guard. With the integration of the active and Reserve components into “Team Coast Guard,” Reserve-specific systems have been reduced wherever possible to a few processes that are unique to the Reserve. For all practical purposes, two key distinctions separate the active and Reserve components. First, unless they are recalled to active duty for a specific purpose, reservists typically serve in a duty status equal to 1/10th of an active duty year. Second, unlike the active component (which is truly national in its recruiting and assignment processes), the Reserve component recruits and assigns its members on a local basis.

This chapter, as well as the one that precedes it, addressed the military workforce components of the Coast Guard. The next two chapters will address the non-military dimensions of the Coast Guard: the civilian component and the Coast Guard Auxiliary.

Tab F – IDT Drill PAY (per day) – Effective for 1997

Rank	Time in Service														
	<2	2	3	4	6	8	10	12	14	16	18	20	22	24	26
E-1	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03	\$ 30.03
E-2	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67	\$ 33.67
E-3	\$ 34.99	\$ 36.90	\$ 38.37	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89	\$ 39.89
E-4	\$ 37.12	\$ 39.21	\$ 41.52	\$ 44.72	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49	\$ 46.49
E-5	\$ 39.81	\$ 43.33	\$ 45.43	\$ 47.41	\$ 50.53	\$ 52.59	\$ 54.66	\$ 56.68	\$ 57.71	\$ 57.71	\$ 57.71	\$ 57.71	\$ 57.71	\$ 57.71	\$ 57.71
E-6	\$ 45.36	\$ 49.45	\$ 51.50	\$ 53.69	\$ 55.71	\$ 57.71	\$ 59.83	\$ 62.91	\$ 64.89	\$ 66.98	\$ 68.00	\$ 68.00	\$ 68.00	\$ 68.00	\$ 68.00
E-7	\$ 52.73	\$ 56.93	\$ 59.02	\$ 61.10	\$ 63.18	\$ 65.19	\$ 67.28	\$ 69.38	\$ 72.51	\$ 74.57	\$ 76.63	\$ 77.64	\$ 82.85	\$ 86.97	\$ 93.16
E-8	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 75.52	\$ 77.69	\$ 79.73	\$ 81.80	\$ 83.97	\$ 85.88	\$ 87.99	\$ 93.16	\$ 97.31	\$ 103.55
E-9	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 90.06	\$ 92.08	\$ 94.16	\$ 96.33	\$ 98.49	\$ 100.39	\$ 105.66	\$ 109.78	\$ 115.95
W-2	\$ 61.62	\$ 66.67	\$ 66.67	\$ 68.61	\$ 72.36	\$ 76.32	\$ 79.22	\$ 82.12	\$ 84.95	\$ 87.94	\$ 90.83	\$ 93.68	\$ 97.46	\$ 97.46	\$ 97.46
W-3	\$ 70.36	\$ 76.32	\$ 76.32	\$ 77.31	\$ 78.21	\$ 83.93	\$ 88.82	\$ 91.72	\$ 94.63	\$ 97.46	\$ 100.49	\$ 104.41	\$ 108.18	\$ 108.18	\$ 111.98
W-4	\$ 77.41	\$ 83.06	\$ 83.06	\$ 84.95	\$ 88.82	\$ 92.73	\$ 96.62	\$ 103.38	\$ 108.18	\$ 111.98	\$ 114.98	\$ 118.69	\$ 122.66	\$ 126.48	\$ 132.22
O-1E	\$ -	\$ -	\$ -	\$ 72.36	\$ 77.31	\$ 80.15	\$ 83.06	\$ 85.94	\$ 89.86	\$ 89.86	\$ 89.86	\$ 89.86	\$ 89.86	\$ 89.86	\$ 89.86
O-2E	\$ -	\$ -	\$ -	\$ 89.86	\$ 91.72	\$ 94.63	\$ 99.57	\$ 103.38	\$ 106.21	\$ 106.21	\$ 106.21	\$ 106.21	\$ 106.21	\$ 106.21	\$ 106.21
O-3E	\$ -	\$ -	\$ -	\$ 100.49	\$ 105.30	\$ 109.07	\$ 114.98	\$ 120.66	\$ 125.45	\$ 125.45	\$ 125.45	\$ 125.45	\$ 125.45	\$ 125.45	\$ 125.45
O-1	\$ 57.53	\$ 59.87	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36	\$ 72.36
O-2	\$ 66.26	\$ 72.36	\$ 86.94	\$ 89.86	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72	\$ 91.72
O-3	\$ 75.98	\$ 84.95	\$ 90.83	\$ 100.49	\$ 105.30	\$ 109.07	\$ 114.98	\$ 120.66	\$ 123.62	\$ 123.62	\$ 123.62	\$ 123.62	\$ 123.62	\$ 123.62	\$ 123.62
O-4	\$ 81.76	\$ 99.57	\$ 106.21	\$ 106.21	\$ 108.18	\$ 112.95	\$ 120.66	\$ 127.44	\$ 133.25	\$ 139.11	\$ 142.93	\$ 142.93	\$ 142.93	\$ 142.93	\$ 142.93
O-5	\$ 97.01	\$ 113.90	\$ 121.78	\$ 121.78	\$ 121.78	\$ 121.78	\$ 125.45	\$ 132.22	\$ 141.08	\$ 151.64	\$ 160.32	\$ 165.19	\$ 170.96	\$ 170.96	\$ 170.96
O-6	\$ 121.28	\$ 133.25	\$ 141.99	\$ 141.99	\$ 141.99	\$ 141.99	\$ 141.99	\$ 141.99	\$ 146.82	\$ 170.03	\$ 178.71	\$ 182.61	\$ 193.19	\$ 199.72	\$ 209.52
O-7	\$ 163.64	\$ 174.77	\$ 174.77	\$ 174.77	\$ 182.61	\$ 182.61	\$ 193.19	\$ 193.19	\$ 202.85	\$ 223.13	\$ 238.48	\$ 238.48	\$ 238.48	\$ 238.48	\$ 238.48
O-8	\$ 196.94	\$ 202.85	\$ 207.66	\$ 207.66	\$ 207.66	\$ 223.13	\$ 223.13	\$ 233.68	\$ 233.68	\$ 243.40	\$ 253.97	\$ 263.72	\$ 270.22	\$ 270.22	\$ 270.22
* To estimate ADT pay, divide the rates of basic pay, BAQ and BAS for the active component by 30.															

Tab G - Scope of Reserve Emergency Ratings¹⁴⁰

DATA PROCESSING TECHNICIAN (DP)

Data Processing Technicians operate data processing equipment to record source data; set up and operate data processing equipment, including data transceivers, sorters, and digital electronic data processing machines for accounting and statistical purposes; process incoming information and make routine and special reports as required; are thoroughly familiar with data processing practices, including applications of general purpose digital computers, programming, systems analysis, and participation in designing electronic data processing systems.

INVESTIGATORS (IV)

The Investigator rating is an emergency rating. Its members are specialists, qualified by experience and knowledge in the techniques of criminal investigation, protective services, intelligence, counterintelligence, and the use of related issued equipment. They are charged with carrying out the prescribed duties of the Investigation and Intelligence Teams described in the CG Readiness Planning Manual (COMDTINST M3010.11). They conduct criminal, law enforcement, and background investigations; carry out protective service operations; and coordinate collection of counterintelligence information with military, Federal, State, and local intelligence agencies. They conduct overt and covert human intelligence collection activities, analyze collected information, produce intelligence products, and conduct operational intelligence briefings.

PORT SECURITYMAN (PS)

Port Securityman are specialists fully qualified in the skills and knowledge used in enforcing the laws, regulations, and orders relative to the safety and security of vessels, waterfront facilities, navigable waterways, ports and harbors, and the natural marine environment. Port Securityman conduct vessel boardings, waterfront facility inspections, pollution incident monitoring, supervision, and investigation, monitor hazardous material storage and transfer, and supervise the loading of explosives. Additionally, Port Securityman may also participate in operations to enforce security zones, safety zones, or limited access areas.

¹⁴⁰ Excerpted directly from *Enlisted Qualifications Manual*, COMDTINST M1414.8B, Tab 0, pp. 1-8.

Chapter 4.

Civilian Component Profile

Throughout the 1990s, Congress and the administration – anxious to eliminate federal deficits through budget reductions – have encouraged the armed services to convert military billets into civilian positions where appropriate. As experts in the Coast Guard, the administration, and in Congress have concluded, such a task is complex and has implications that go beyond the relative cost of the different personnel categories.

The active component is the military core of the Coast Guard's response capability; the Reserve component is a contingency resource that allows the Coast Guard to execute its operational military and law enforcement objectives. However, in many instances, the civilian component also provides a source of talent for jobs that require highly specialized knowledge, or that are easily disrupted by the military transfer process. To assist the FOT in evaluating the use of non-military resources in staffing, this chapter now profiles the civilian component.

Disposition

Structure & Personnel Categories

The Coast Guard is a “blue suit” organization; with few exceptions, senior commissioned officers direct all operations and programs of the Service.¹⁴¹ While comprising a small percentage of all full time positions,¹⁴² civilian employees *complement* the active component, providing specialized skills and administrative support at Headquarters, Areas, Maintenance and Logistics Commands, District staffs, and specialized Headquarters units.¹⁴³

The civilian workforce has experienced significant turmoil on two fronts in the past five years. *First*, budget reductions have cut staffing for internal civilian program management by 50 percent since 1994. *Second*, the presence of the Office of Personnel Management (OPM) has been one of the most visible targets of government reengineering initiatives, and consequently its presence has been sharply reduced in the federal workplace. Prior to downsizing, OPM actively administered policies and interpreted the provisions of Title 5, U.S. Code for the federal government. With the sunset of the Federal Personnel Manual and cuts in OPM staffing, agencies have been forced to implement civil service law on their own. In combination, both events have forced a smaller number of civilian personnel administrators to devote more time to personnel transactions and less time articulating new policies for a rapidly changing federal workplace. The result for the Coast Guard is an exceptionally thin civilian personnel management organization in which policy and management needs of the Coast Guard's 5,000+ full time employees are controlled by a few subject matter experts at Headquarters, the Coast Guard Personnel Command, and Civilian Staff Advisors (CSAs) assigned to in each District.

With the exception of “career ladder” positions, there is no promotion “pyramid” as that term is used to describe the military workforce. Civilian employees may supervise military workers, but they typically report to a senior who is a member of the regular Coast Guard. This senior military member provides controls the civilian employee's work, while the Civilian Personnel Management Division of the Coast Guard Personnel Command provides centralized pay and administrative control.

¹⁴¹ 14 U.S.C. 1: “The Coast Guard...shall be a military service and a branch of the armed forces of the United States at all times.”

Civilians of the Senior Executive Service fill the positions of Director of Finance and Procurement (the Coast Guard's Chief Financial Officer) and the Chief, Office of Civil Rights. A Public Health Services flag officer serves as the Director of the Health and Safety Directorate.

¹⁴² As of July 17, 1997, the Personnel Allowance List of the Coast Guard showed 5,808 full time civilian positions compared to 33,405 active duty military billets.

¹⁴³ Headquarters units perform specialized support duties (e.g., training, finance, and research) and report directly to a Headquarters program manager for funding, oversight and direction.

While policies that govern the active and Reserve components originate from a handful of sources,¹⁴⁴ the policies that govern civilian employment are rooted in Titles 5, 10, and 14 of U.S. Code. Varying degrees of regulatory control are exercised by the Office of Management and Budget, the Office of Personnel Management, the Equal Employment Opportunity Commission, the Department of Transportation, the Department of Defense,¹⁴⁵ the Prevailing Rate Advisory Committee, the Federal Labor Relations Authority, and the Coast Guard itself. In addition, civilian personnel management is sensitive to legal precedents established in case law involving public and private sector employers.

Civilian positions are either funded by Congressional appropriations or by nonappropriated funds (NAF). NAF employees staff commissaries, exchanges, and recreational facilities; they include civilians, as well as off-duty military personnel. NAF employees serve the morale, welfare and recreational needs of the Coast Guard and its employees, and they do not constitute a resource available for the conduct of the Coast Guard's primary operational and support programs. Consequently, this study will not address NAF employees.¹⁴⁶

Civilian positions funded by appropriation are categorized by the pay system that controls their respective use. See Table 21. Employee categories profiled in this study include *wage grade employees* of the Federal Wage System (5 U.S.C. 5341), employees hired under the *General Schedule* (5 U.S.C. Chapter 51), and *general merit employees* managed under the Performance Management and Recognition System (5 U.S.C. 7103).¹⁴⁷

- *Wage Grade Employees*. Prevailing rate or “wage grade” (WG) employees provide the Coast Guard ready access to trades people (e.g., mechanics, electricians, etc.). The Secretary of Transportation is responsible for establishing the prevailing rates for wage grade employees of the Coast Guard.¹⁴⁸ WG employees are compensated on an hourly basis and are primarily concentrated at industrial facilities, such as the Coast Guard Yard, Curtis Bay, MD.
- *General Schedule Employees*. “General schedule” (GS) employees provide the professional, administrative, technical, clerical and other skills essential to Service missions. The majority of civilian personnel are GS employees. GS employees work on a salaried basis, with overtime differential paid by the hour. They serve in pay grades GS-3 to GS-15 and are subject to the Performance Management System (PMS).
- *General Merit Employees*. “General merit” (GM) employees are *supervisors* and *managers* (pay grades 13, 14 and 15) who serve in designated positions subject to the Performance Management and Recognition System (PMRS). The GM pay plan relates compensation more closely to individual performance than is required by the performance management system of the General Schedule.
- *Other Categories*. Other employee categories include the Senior Executive Service (SES), civilian faculty of the Coast Guard Academy, and Administrative Law Judges.

¹⁴⁴ Sources include Titles 10, 14 and 37 of U.S. Code, including the Uniform Code of Military Justice; uncoded traditions, norms and values of the military and naval cultures; the Department of Defense; and the Coast Guard itself.

¹⁴⁵ Example: the Department of Defense (DOD) has a role in the setting of some wage grade schedules. *Position Classification Manual*, COMDTINST M12510.6B, para. 1.D.2.c.

¹⁴⁶ This assertion is supported by statute: “By reason of section 2105, Title 5, United States Code (5 U.S.C. 2105), NAF employees are not deemed employees of the Federal Government for purposes of laws administered by the Office of Personnel Management (OPM).” *Coast Guard Nonappropriated Fund Personnel Manual*, COMDTINST M12271.1, para. 1.G.

¹⁴⁷ Members of the Senior Executive Service are compensated under the provisions of the Executive Performance Appraisal System. *Personnel Management System*, COMDTINST 12430.6A, para. 2-B-2.

¹⁴⁸ _____, (U.S. Coast Guard). *Position Classification Manual*, COMDTINST M12510.6B, para. 2.E.

Table 21 - Civilian Wage System Categories of the Coast Guard

Wage System	Category	Grade Range	Evaluation System	Duties
Federal Wage System	Wage Grade	WG-1 - WG-15	PMS	Skilled trades and crafts; unskilled labor.
	Wage Leader	WL-1 - WL-15	PMS	Skilled trades and crafts; unskilled labor.
	Wage Supervisor	WS-1 - WS-19	PMS	Skilled trades and crafts.
General Schedule		GS-1 - GS-15	PMS	Professional, administrative, technical, clerical and other duties. Positions may be classified "supervisory" or "managerial" in the higher pay grades.
General Merit		GM-13 - GM-15	PMRS	Professional, administrative, technical, clerical and other duties. Positions are typically classified "supervisory" or "managerial."
Senior Executive Service		ES-1 - ES-6	Executive Performance Appraisal System	Administer programs at the top levels of the Service. Duties vary but require <i>executive core qualifications</i> in Strategic Vision, Human Resource Management, Program Development and Evaluation, Resource Planning and Management, Organizational Representation and Liaison. Duties are primarily supervisory and managerial. ¹⁴⁹
Administrative Law		AL-3/A - AL-1	OPM-administered	Adjudicate administrative hearings

Civilian positions are described by their duration of duty (i.e., *full time v. part time*), permanency of assignment (*permanent v. temporary*), *position sensitivity*, *range of responsibility*, and *job series*. The process that draws these distinctions for each position is known as the position classification process.

Civilian personnel officers compare a position description prepared by the sponsoring command or program with the description of occupations identified in the General Schedule (for GS, GM, Senior Executive Service, Administrative Law Judge and other administrative categories) and Federal Personnel Manual Supplement 532-1 (for FWS positions).¹⁵¹ Based on this analysis, which includes a determination of the type and difficulty of the duties, responsibilities, skill requirements, and the degree of supervision exercised by the incumbent, the civilian personnel officer assigns a pay plan, title, series, and grade to the position.¹⁵² (Note that position descriptions are retained by the supervisor of the civilian employee and by the servicing Civilian Personnel Office). Civilian positions may share the same OPM job series, but differ significantly in the specific job tasks required by the position description. General Schedule positions are classified according to a nine-part Factor Evaluation System and FWS positions are classified using four factors.

¹⁴⁹ See <http://www.usajobs.opm.gov/b1f.htm> (OPM Information WWW Page).

¹⁵⁰ See <http://www.usajobs.opm.gov/b1e.htm> (OPM Information WWW Page).

¹⁵¹ *Ibid.*, para. 2.D-2.G.

¹⁵² *Ibid.*, para. 2.A.

For the purposes of this study, key considerations in civilian position planning include the following items.

- Full Time v. Part Time.

With the exception of firefighters, civilian work activity is normally categorized by Coast Guard staffing standards as *day work*.¹⁵³ *Full time* positions are established on the basis of a 40-hour work week, though the standard work week for civilian firefighters is 72 hours.¹⁵⁴ Wartime staffing standards lengthen the 40-hour workweek ashore to 60 hours in the early phases of mobilization, and 48 hours in the later phases.¹⁵⁵

Typically, *part time* positions are established by unit commanders within existing full time equivalency (FTE) limits. While the programming of part time positions is permissible, Office of Management and Budget FTE policies, Congressional full time position authorizations and the Strategic Planning, Long Range Planning, Programming, Budgeting, Execution and Evaluation System (SPPBEES) are oriented towards the acquisition of full time positions in the resource process. Permanent part time employees work between 16 and 32 hours per week.

- Permanent v. Temporary.

Permanent positions are authorized for fill on an indefinite basis. Permanent positions are established through SPPBEES and are listed on the Personnel Allowance List.

Temporary positions are defined as...

“those GS or FWS positions established for a fixed term (normally less than one year) to accommodate or relieve a workload/personnel situation of a truly ‘temporary’ nature. The work schedule for employees in these positions may be full-time 40 hour workweeks, part-time 16 to 32 hours, or intermittent (on an as-needed basis). Positions in this category may be established at the local level without reference to Headquarters if they can be accommodated within currently authorized civilian employment ceilings.”¹⁵⁶

- Position Sensitivity.¹⁵⁷

The Coast Guard categorizes each position according to its sensitivity for national security considerations. “Through applying DOT criteria, every position must be assigned one of four categories of sensitivity (Special Sensitive, Critical Sensitive, Noncritical Sensitive or Nonsensitive).”¹⁵⁸

Special sensitive (Level 4) positions place the incumbent in contact with classified information or computer access that would cause *more than exceptionally grave damage* to national security interests if the information were inappropriately disclosed.

Critical sensitive (Level 3) positions indicate that the incumbent perform duties involving access to highly classified information, computer systems, plans, investigative duties, fiduciary responsibilities

¹⁵³ _____, (U.S. Coast Guard), *Staffing Standards Manual*, COMDTINST M5312.11A, para. 1.C.

¹⁵⁴ *Ibid.*, para. 1.D.

¹⁵⁵ *Ibid.*, 1.F. Note that this standard reflects a planning factor devised during the height of the Cold War in the 1980s.

¹⁵⁶ _____, (U.S. Coast Guard), *Personnel Resources (Military & Civilian) and Civilian Employment Ceiling Manual*, COMDTINST M5312.13A, art. 3.A.3.a.

¹⁵⁷ All information on position sensitivity is condensed from *Coast Guard Personnel Security Program*, COMDTINST M5520.12, para. 3.K and Chapter 7.

¹⁵⁸ *Ibid.*, para. 1.A.23.

involving assets or decisions valued at \$10 million or more, or other positions determined to involve relatively high risk for affecting grave damage or realizing significant personal gain.

Noncritical sensitive (Level 2) positions require that the incumbent perform duties involving secret or confidential information, duties that may adversely affect the overall operations of the Coast Guard, certain computer related duties, or any duties that demand a high degree of trust.

Nonsensitive (Level 1) positions do not conform to any of the sensitivity definitions listed above.

- Range of Responsibilities.¹⁵⁹

Responsibility is defined by the range of business functions controlled (*managerial*), and by the span of direct supervisory responsibility (*supervisory*). Positions in fact are classified as *managerial*, *supervisory*, a combination of the two, or neither.

The incumbents of *managerial positions* are expected to (1) direct the efforts of an entire organization, (2) are held accountable for program results, (3) set, monitor and revise organizational goals, and (4) integrate considerations of the external operating environment into the internal business.¹⁶⁰ For the sake of simplicity, the manager should be viewed as a subject matter expert who directs the operating or support programs of the Coast Guard.

The incumbents of *supervisory positions* perform traditional oversight duties with respect to three or more employees (hiring, firing, addressing grievances, etc.). Positions are classified “supervisory” in accordance with the Supervisory Grade Evaluation Guide for most wage system categories, except when the Job Grading Standard for Supervisors is applied for FWS employees.¹⁶¹

Positions that are neither managerial nor supervisory are classified as *nonmanagerial* or *nonsupervisory*. Incumbents in these jobs focus on performing duties related to their job series, and exercise oversight duties in a limited set of circumstances (e.g., in the temporary absence of the manager or the supervisor).

- Job Series.

Based on a review of the position description, as well as the civilian personnel officer’s determination of what duties will be performed, most positions are assigned a job series code in accordance with the General Schedule. The primary exception to this rule is that FWS jobs are classified using Federal Personnel Manual Supplement 532-1. See “Occupations.”

¹⁵⁹ These terms, defined by OPM in its *Supervisory Grade Evaluation Guide*, excerpted in *DOT Probationary Periods for New Supervisor and Managers*, COMDTINST 12315.2, Enclosure (1), “Amplification of Definitions of Supervisor and Manager.”

¹⁶⁰ _____, (U.S. Coast Guard). *Probationary Period for New Supervisors and Managers*, COMDTINST 12315.2, enclosure (1), para. 3.

¹⁶¹ *Ibid.*, enclosure (1), para. 2.

Programming Process

Establishing Civilian Positions

Civilian *positions* are established at Coast Guard OPFACs and identified on the Personnel Allowance List (PAL) much in the same manner as military *billets* are. This process is described in the “Programming Process” section of Chapter 2. Key differences in the programming of civilian positions include the following items.¹⁶²

1. A general rule of thumb is that it is easier to convert a military billet into a civilian position than vice versa. A military-billet-to-civilian-position conversion can only be approved “when such transactions have been included in the current operating stage of the budget, are due to congressionally imposed constraints, or can be accommodated within existing personnel ceilings. The only exceptions will be those where an offsetting transaction is proposed or located elsewhere.”¹⁶³ The reason for this is very straightforward: the Service estimates that on average it costs \$15,000 more to compensate military personnel than comparable civilians, a result that has recently attracted the attention of Congress and the General Accounting Office.¹⁶⁴
2. Each civilian position is identified with a unique position control number” (PCN).¹⁶⁵ For clarity, a fictitious PCN will be cited.

12-0703-P-R

- a. Positions 1 and 2: Indicates the geographic location of the position by district, Headquarters unit or Headquarters staff directorate. In this example, “12” refers to a fictitious position located in the old Twelfth District (Northern California).
- b. Positions 3 through 6: Provides a sequential position number. To assist management at the Headquarters level, sequential number series are categorized by appropriation using the following scheme:

0001 - 0699: GS/GM positions in the OE appropriation.
0700 - 0799: GS/GM positions in the RT appropriation.
0800 - 0899: GS/GM positions in the OE appropriation.
0901 - 1300: GS/GM positions in the AC&I appropriations.
2000 - 2999: Upward Mobility positions.
3000 - 3999: GS/GM positions in the R&D appropriation.
4000 - 5999: FWS positions.
7000 - 7999: Special Programs (e.g. summer hires).
9000 - 9999: Medical staff positions (e.g., nurses etc.).

¹⁶² _____, (U.S. Coast Guard). *Personnel Resources and Civilian Employment Ceiling Manual*, COMDTINST 5312.13A, para. 1.E.

¹⁶³ *Ibid.*, 1.G.

¹⁶⁴ _____, (General Accounting Office). *Coast Guard: Challenges for Addressing Budget Constraints*, report no.RCED-97-110, May 14, 1997 (77 pages).

¹⁶⁵ _____, (U.S. Coast Guard). *Personnel Resources and Civilian Employment Ceiling Manual*, COMDTINST 5312.13A, para. 3.B.

In the example, “0703” identifies this as the third sequentially identified position that is funded by the RT appropriation at this command.

- c. Position 7: Describes the type of position as follows:

P: Permanent GS/GM positions.
W: Permanent FWS positions.
Z: Permanent Part Time GS/GM positions.
M: Permanent Part Time FWS positions.
V: Temporary GS/GM positions.
X: Temporary FWS positions.
C and D: Cooperative Education Student Trainees.¹⁶⁶
Y: Non-ceiling or Special Ceiling Programs (e.g., summer aids, “Stay in School” Program; Federal Junior Fellowship Program, Presidential Management Internship, and first year worker trainee opportunity program).¹⁶⁷

In the example above, the PCN identifies this position as a permanent GS/GM position.

- d. Position 8: Assigns an appropriation code to identify the positions source of funding. The codes are identified as follows.

E: Operating Expenses Appropriation.
A: Acquisition, Construction & Improvement Appropriation.
R: Reserve Training Appropriation.
B: Research & Development Appropriation.
I: Operating Expense (Industrial Accounting).
Y: Yard Appropriation.
X: Operating Expense (Reimbursable Positions).

In the example above, the PCN indicates that the RT appropriation funds this position.

3. Once a full time position is established, it “must be used for the purpose authorized for at least three years” before it can be reprogrammed.¹⁶⁸
4. While program managers at Headquarters sponsor resource requests, effective control of military billets and civilian positions passes to the gaining operational command. Consequently, bias in favor of the operational commander results when program managers consider the use, reprogramming, or elimination of the resource:

“Conflicts may arise between the views of the program and support managers in Headquarters and the ‘on scene’ commander as they have in the past; nevertheless, the flexibility needed in the field is overriding.”¹⁶⁹

5. District commanders and commanding officers of Headquarters units with civilian personnel offices may establish temporary and part time permanent positions provided that the positions are staffed within

¹⁶⁶ _____, (Office of Personnel Management). *Federal Personnel Manual*, Chapter 308.

¹⁶⁷ _____, (U.S. Coast Guard). *Personnel Resources and Civilian Employment Ceiling Manual*, COMDTINST M5312.13A, para. 3.A.3.c.

¹⁶⁸ *Ibid.*, para. 4.A.3. Only the Commandant of the Coast Guard may waive this three year requirement.

¹⁶⁹ *Ibid.*, para 4.A.5.

existing FTE limits. The following restrictions apply to these temporary and part time permanent positions.¹⁷⁰

- a. Only “Operating Expenses” (OE) appropriation funds support temporary positions. Exceptions may be considered on an individual basis by the Office of the Chief of Staff.
- b. Temporary positions may be established and filled for up to one year, and are renewable annually for up to four years without prior approval from OPM (formerly codified in FPM 316-21). Any situations that last longer than four years are considered "permanent" and must be accommodated through reprogramming of a permanent resource.
- c. District commanders and the COs of Headquarters units may relocate full time permanent positions (GS or FWS) to meet changing workload requirements within their area of responsibility without the prior approval of the Commandant. To effect these changes, the respective command must document the reprogramming on a Billet/Position Change Notice (CG-5672) that is submitted to Coast Guard Headquarters.
- d. Full time permanent positions funded by OE and a limited number of positions funded by the Coast Guard Yard Fund may be reprogrammed. However, in no case is it permissible for a position established in one appropriation to be funded by another appropriation.
- e. The Chief of Staff retains reprogramming authority for positions that support the following programs: Upward Mobility, Civil Rights, Equal Opportunity, Medical (Professional Positions - nurses, etc.), Safety (Management Staff Positions), and Minority Business Enterprise.
- f. Changes in a position’s controlling pay system (e.g., GS) to another system (e.g., FWS), or changes in pay grade by more than one level to GS-7 or higher must be submitted to the Office of the Chief of Staff for approval.

FTP, FTE & Lapse Rates: The Authority to Employ Civilians

Three distinct elements must align in the programming and budgeting process in order for a military member or civilian employee to begin working for the Coast Guard. First, Congress must authorize the expenditure of funds to support a civilian workforce. Second, Congress appropriates these funds on the condition that they be used to fund an aggregate number of “full time positions” (FTPs). While Congress must ultimately approve the distribution of civilian positions, Congress authorizes and funds their usage on an *aggregated* basis. Third, the Office of Management and Budget allocates a number of “full time equivalents” (FTEs) to the Coast Guard as it apportions Congressional funding to the Service through the Department of Transportation.¹⁷¹

FTE is a management device created to control civilian hiring and salaries in the Executive Branch. FTE ceilings limit the cumulative amount of time worked by the civilian workforce in one fiscal year. Each FTE is equivalent to one full time labor year (40 hours per week x 52 weeks in a fiscal year = 2,080 work hours). All positions funded by an appropriation are subject to FTE ceilings. Thus, civilian employees may perform duty once appropriated funds, FTP authorization, and FTE ceiling are all made available at the beginning of the fiscal year.

Any discussion of FTE must address the notion of position “lapse.” The OMB-mandated lapse rate is the percentage of difference between the number of FTPs authorized by Congress and employment ceilings (expressed as FTEs)

¹⁷⁰ *Ibid.*, para. 4.B.1.

¹⁷¹ Typically, the number of FTPs authorized by Congress exceeds the amount of FTE made available by OMB, the amount of Congressional dollars funded, or both.

authorized by OMB. The lapse rate normally runs between six and 12 percent of authorized FTPs.¹⁷² For example, a seven percent lapse rate would require that, on average throughout the year, seven percent of Coast Guard FTPs remain vacant.

“The DIFFERENCE between full-time employees with permanent (FTP) appointments and the total (OMB FTE) ceiling represents the cumulative number of hours that can be worked by ALL employees who do not have FTP appointments that is, part-time permanent, part-time temporary, full-time temporary, and intermittent employees.”¹⁷³

The Commandant of the Coast Guard, through the Office of the Chief of Staff, announces FTP, FTE and lapse limits to the field via an “Employment Allocation Voucher.” By policy, the Coast Guard distributes the lapse rate evenly across ATUs. Using the seven percent example cited in the paragraph above, each ATU would absorb an equal percentage cap on FTE.¹⁷⁴

Distribution Across ATUs (Specialty/Pay Grade)

The “on board” strength of full time, permanent employees totaled 5,215 at the end of August 1997. These employees were categorized in the following types of occupations (by OPM job series).

Professional	946
Administrative	1,516
Technical	1,036
Clerical	258
Other	51
Wage Grades	1,408
Total	5,215

At the end of September 1997, the segment of the civilian workforce that was supported by appropriated funds totaled 5,608. Note the separation of 10 people from the full time permanent employment category.

Full Time Permanent	5,205
Part Time Permanent	25
Temporary ¹⁷⁵	231
Intermittent ¹⁷⁶	43
Non-Ceiling	104
Total	5,608

Figure 4 illustrates the distribution of civilian positions by their respective employment categories.

¹⁷² *Ibid.*, 5.C.

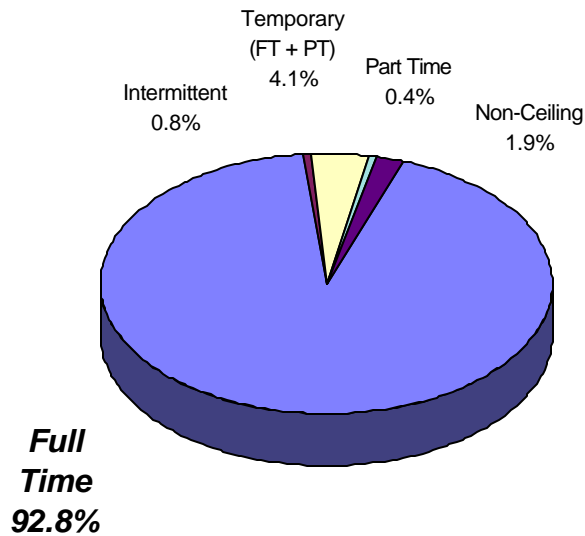
¹⁷³ *Ibid.*, 5.B.2.

¹⁷⁴ *Ibid.*, 5.C.

¹⁷⁵ Includes 223 full time temporary workers + 8 part time temporary workers = 231.

¹⁷⁶ Intermittent Workers: “Regular pay for employees, regardless of tenure group, having appointments which require work on an irregular or occasional basis, with hours or days of work not based on a pre-arranged schedule. Compensation is paid only for time actually rendered...Includes lamplighters and lighthouse keepers.” Full Time Equivalency (FTE) Report, SF 113-G, COMDTINST M12291.4, enclosure (8), CIVPMIS code 1133.

**Figure 4 - Civilian Distribution
(by Employment Category - September 30, 1997)**



Costs (Type & Expense Calculation)

There are two primary cost categories associated with all workforce components, including civilian employees: salary costs and personnel support costs. Civilian *salary costs* represent the Coast Guard's total wage bill for each civilian employee, including performance awards, insurance contributions, and pension contributions.¹⁷⁷ *Personnel support costs* (PSC) include the allocation of "overhead" to military billets and civilian positions, including items such as local and long distance phone usage, Coast Guard Standard Workstations II and III, furniture and fixture costs incurred in the start-up of a new facility, personnel training, and medical care.¹⁷⁸

¹⁷⁷ _____, (U.S. Coast Guard). *Financial Resource Management Manual*, COMDTINST M7100.3A, para. 4.G.2

¹⁷⁸ *Ibid.*

Accessions

Competitive Service vs. Excepted Service

In the context of hiring people into vacant civil service positions, civilian personnel officers consider candidates in three classes of hiring categories: *competitive service* appointments of career or career-conditional employees; *temporary* appointments; and *excepted service* appointments.

Members of the *competitive service* participate in open competition for appointment to federal jobs, receiving equal consideration for placement among candidates from predetermined applicant pools. The Coast Guard may limit the source of applications to current employees of the Coast Guard or other federal agencies (career appointments), or the public at large (career-conditional appointments).¹⁷⁹

Federal agencies with specialized missions (e.g., Central Intelligence Agency, Congress, organs of the United Nations located in the U.S.) may be exempted from adherence to civil service procedures. *Excepted service* appointments in these agencies are made in accordance with procedures especially developed for that agency. The Coast Guard maintains a small number of excepted service positions (e.g., attorneys). The number of excepted service positions was not determined for this study.

Job Announcements

The civil service posts official job announcements whenever a position vacancy exists. See Appendix II for a sample job announcement. Applicants may obtain job announcements from OPM-sponsored paper, electronic and telephone bulletin board services, OPM's home page on the Worldwide Web, or directly from paper and electronic bulletin boards within the Coast Guard. Candidates apply using either a resume, the OF-612/Optional Application for Federal Employment, or SF-171/Application for Federal Employment.

Unlike the military workforce, with its prescribed list of applicant characteristics, prerequisites for civilian positions vary with each announcement. Job announcements specify required levels of education, work history, professional certifications, knowledge, skills and abilities. A small number of jobs, primarily those in the pay grades GS-2 to GS-4, require successful completion of a written examination.¹⁸⁰ In some cases, a job announcement may specify a range of entry level pay grades in which candidates use higher education or advanced expertise to secure a higher starting wage. See Table 22.

¹⁷⁹ Federal agencies exercise discretion in choosing to limit applications to employees already employed by the Coast Guard (either with career or career-conditional status), employees of other federal agencies, or the general public. See <http://www.usajobs.opm.gov/b.htm> (OPM General Information Home Page).

¹⁸⁰ Examples of jobs that require a written test include typists and criminal investigators.

Table 22 - Effect of Educational Attainment & Experience on Starting Wages

This level of education...	or this level of experience...	may qualify the candidate for pay grade...	or this annual rate of basic pay. ¹⁸¹
High school diploma		GS-2	\$14,243
--	3 months general experience.	GS-2	\$14,243
--	4-12 months of general experience	GS-3 to GS-4	\$15,542 - \$17,447
Bachelor degree	1 year specialized experience similar to that required for the position.	GS-5	\$19,520
Bachelor degree (cumulative grade point average of B or other academic credentials)	--	GS-7	\$24,178
Masters degree	--	GS-9	\$29,577
Doctoral degree	--	GS-11	\$35,786
--	Specialized experience commensurate with at least 1 year of experience in the next pay grade below the pay grade desired. Also, at least 1 year in the Federal Service.	GS-7 and above.	\$24,178-\$70,894
--	OPM-administered test with a passing score in the normatively scaled range 70-100.	Clerical jobs at GS-2 to GS-4.	\$14,243 - \$17,447
--	OPM-administered test with a passing score in the normatively scaled range 70-100.	Technical aid jobs at GS-2 to GS-3.	\$14,243 - \$15,542
--	Demonstration of minimum	Wage Grade position as	Variable wage.

Probationary Periods

Civilians must serve three years in a *career-conditional*¹⁸² status in order to receive tenure as a *career*¹⁸³ federal employee. The character of their service during this three-year period must be “substantially continuous creditable service.”

The federal government maintains two additional types of trial periods. First, new accessions to the federal payroll typically serve a one-year term of probation during which time the employee’s suitability for government service is evaluated.¹⁸⁴ Second, first-time supervisors and managers serve a one year period of probation to assess their ability to supervise employees or to manage programs.¹⁸⁵

¹⁸¹ Does not include premiums for locality pay in the lower 48 states (4.8 - 11.5%) or overseas (10 - 25%).

See <http://www.usajobs.opm.gov/b.htm> (OPM General Information Home Page).

¹⁸² *Career appointment*: an employee who has served three years of “substantially continuous creditable service” and has thus earned career tenure. 5 CFR 315.201.

¹⁸³ *Career-conditional appointment*: an employee who has not yet earned career tenure. *Ibid.*

¹⁸⁴ 5 CFR 315, Subpart H.

¹⁸⁵ 5 CFR 315.904, 315.907.

Accession Sources

The Coast Guard has considerably more flexibility in choosing the source of its civilian “accessions” than it does with its military accessions. To satisfy the demand for civilian labor, the Coast Guard may hire from outside the government; promote or reassign employees already employed by the Coast Guard; “transfer” employees from other agencies into the Coast Guard; reinstate federal employees; or change the status of employees who hold appointments in the excepted service to the competitive service.¹⁸⁶ This increased flexibility exists, in part, because staffing requirements most often represent general skills available in the wider labor force. Selection criteria for age, physical strength, drug use, physical or mental disability, or character are often not as restrictive for most civilian hires as they are for military workforce.

See Table 23 for a summary of the various sources of civilian employee accessions available to the Coast Guard.

¹⁸⁶ United States Coast Guard Personnel Procedures for Supervisors, USDA Graduate School, pp. 1-STAFF - 21-STAFF.

Table 23 - Civilian Accession Source Categories

Accession Source Category	Option
Outside Hire	<ul style="list-style-type: none"> • <i>Career appointment</i> • <i>Career-conditional appointment</i> • <i>Excepted service appointment</i>
Internal USCG Hire	<ul style="list-style-type: none"> • <i>Demotion</i> • <i>Reassignment</i> • <i>Promotion</i>
Hire from Federal Workforce	<ul style="list-style-type: none"> • <i>Transfer</i>: an agency may appoint by transfer to a competitive service position, without a break in service of a single workday, a current career or career-conditional employee of another agency.¹⁸⁷ (All other references to “transfers” in this study refer to the movement of personnel <i>within</i> the Coast Guard.) • <i>Detail</i>: the temporary assignment of an employee to a different position for a specified period with the employee returning to regular duties at the end of the detail. Technically, a position is not filled by a detail, as the employee continues to be the incumbent of the position from which detailed.¹⁸⁸
Rehire Separated Workers	<ul style="list-style-type: none"> • <i>Reinstatement</i>: return of an employee to a competitive service position when that person. An employee who held a career appointment in the competitive service appointment prior to separation retains career tenure.¹⁸⁹
Alternative Work Sources ¹⁹⁰	<ul style="list-style-type: none"> • <i>Temporary limited appointments</i>: used for projects that last less than one year. • <i>Term appointments</i>: used for projects that last for one to four years. • <i>Part time employment</i>: used to provide labor in fractional FTE. • <i>Intergovernmental Personnel Act mobility assignments</i>: temporary assignment of employees from other federal agencies. • <i>Student Career Experience Program</i>: accession program leading to noncompetitively assigned career appointments in certain fields. This program is intended for high school, college, and graduate students in specific fields of study. • <i>Selective placement of handicapped individuals and disabled veterans</i>

¹⁸⁷ 5 CFR 315.501.

¹⁸⁸ _____, (U.S. Coast Guard). *Detail of Civilian Employees*, COMDTINST 12300.7, para. 3.A.

¹⁸⁹ 5 CFR 315.401.

¹⁹⁰ Unless otherwise noted, options in this source category were identified in United States Coast Guard Civilian Personnel Procedures for Supervisors, USDA Graduate School, pp. 2-STAFF - 12-STAFF. Other categories – Presidential management interns and the excepted appointments of experts and consultants – occur on an infrequent basis and therefore are not included in this study.

Preferences

Affirmative Action

Like all other federal agencies, the Coast Guard works to minimize adverse impacts on minorities, women, veterans and handicapped candidates in all personnel management decisions. The government focuses its efforts particularly on the hiring decision because “(w)hen underrepresentation is found, it is often the result of recruiting barriers which have been identified by the civilian personnel officers in conjunction with the civil rights officers.”¹⁹¹ Table 24 summarizes major employment programs that increase and safeguard civil service participation by underrepresented demographic groups.

Table 24 - Affirmative Employment Programs¹⁹²

Employment Program	Enabling Authority	Purpose
Equal Employment Opportunity and Affirmative Action Program	E.O. 11246 (amended by E.O. 11375)	<ul style="list-style-type: none"> Agency head accountable for program establishment and implementation. Agencies must appoint a Director of EEO. Barred discrimination in federal employment on the basis of race, color, religion or national origin.
Federal Women's Program	E.O. 11375	<ul style="list-style-type: none"> Agencies must appoint a Federal Women's Program Coordinator. Focus on employment concerns of women.
Hispanic Employment Program	Presidential directive to US Civil Service Commission and OPM	<ul style="list-style-type: none"> Agencies must appoint a Hispanic Employment Program Coordinator. Focus on employment concerns of Hispanic Americans.
Comprehensive Affirmative Action Program (CAAP)	Rehabilitation Act of 1973	<ul style="list-style-type: none"> Ensure qualified handicapped individuals equitable opportunities for hiring, placement and promotion.
Disabled Veterans Affirmative Action Program (DVAAP)	Vietnam Era Veterans Readjustment Assistance Act of 1974	<ul style="list-style-type: none"> Agencies required to assign a Disable Veteran Affirmative Action Program Coordinator. Agencies must develop plans to promote employment and advancement opportunities for qualified disabled veterans.
Selective Placement Program	OPM directive	<ul style="list-style-type: none"> Supports objectives of CAAP and DVAAP.
Federal Equal Opportunity Recruitment Program (FEORP)	Civil Service Reform Act of 1978, Sec. 7151	<ul style="list-style-type: none"> Agencies must appoint a FEORP Coordinator. EEOC establishes guidelines for affirmative employment efforts. OPM regulations implement these EEOC guidelines.
Upward Mobility Program	E.O. 11478; reaffirmed in Equal Employment Act of 1972 & Government	<ul style="list-style-type: none"> Focus on employees occupying lower level pay grades (below GS-9) in jobs with little career potential. Implemented on a nondiscriminatory basis; program can

Merit System Protection

Congress passed the Civil Service Reform Act of 1978 with the intention of reforming, standardizing and ensuring equality in employment, training, promotion and discharge actions.¹⁹³ These reforms were consolidated into nine Merit System Principles and 11 prohibited personnel practices.

¹⁹¹ _____, (Department of Transportation). *DOT Federal Equal Opportunity Recruitment Program (FEORP)*, COMDTINST 12720.4B, paras. 3-5.

¹⁹² _____, (USDA Graduate School). *United States Coast Guard Civilian Personnel Procedures for Supervisors*, pp. 19-EEO - 21-EEO.

¹⁹³ P.L. 95-454.

Occupations

Defining Work Requirements in the Position Description

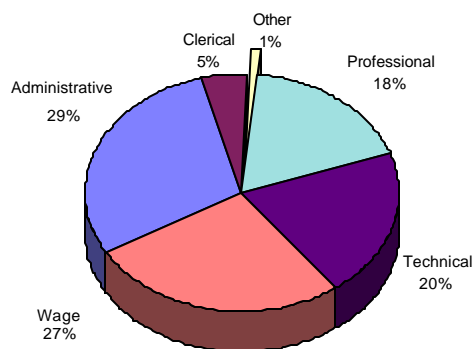
The requirements of a civilian job are identified in a description of duties proposed by the sponsoring command. Civilian personnel officers review this description for accuracy and completeness, and then classify the position with a pay plan, job title, job series, and grade commensurate with the job. Civilian personnel officers base their classification decision on the “type and difficulty of the duties, responsibilities, skills requirements, and the degree of supervision exercised over and by the incumbent.”¹⁹⁴ While a limited degree of customization is allowed, the provisions of Title 5, U.S. Code, Title 5, Code of Federal Regulations and OPM directives generally limit the position description to the existing OPM job series.

The PATCOB Distribution

Civilian personnel officers translate the sponsor’s position description into a job title and job series using the OPM taxonomy. OPM divides civilian job series into six major occupational categories: professional, administrative, technical, clerical, other and “blue collar” trades (PATCOB). These guidelines describe the nature of the work performed; the education, knowledge, skills, abilities and professional certifications required; and life experience that may be substituted for various entry requirements.

The Coast Guard currently employs individuals in 229 OPM job series titles. See **Error! Not a valid link.** for the distribution of civilian personnel by PATCOB group; see **Error! Not a valid link.** for a listing of all civilian job series currently employed in the Coast Guard.

Figure 5 - Civilian Personnel Distribution (by PATCOB Category)



¹⁹⁴ Position Classification, COMDTINST M12510.6B, paras. 2.A - 2.B.

Figure 6 - Current Civilian Personnel Occupations

<div>Professional</div> <div><div><div>ACCOUNTING</div><div>ADMINSTRATIVE LAW JUDGE</div><div>AEROSPACE ENGINEERING</div><div>ARCHITECTURE</div><div>CHEMICAL ENGINEERING</div><div>CHEMISTRY</div><div>CIVIL ENGINEERING</div><div>CONTRACTING</div><div>ECONOMIST</div><div>EDUCATION AND VOCATIONAL TRNG</div><div>EDUCATION SERVICES</div><div>ELECTRICAL ENGINEERING</div><div>ELECTRONICS ENGINEERING</div><div>ENVIRONMENTAL ENGINEERING</div><div>FIRE PROTECTION ENGINEERING</div><div>GENERAL ATTORNEY</div><div>GENERAL EDUCATION AND TRAINING</div><div>GENERAL ENGINEERING</div><div>GENERAL HEALTH SCIENCE SERIES</div><div>GENERAL PHYSICAL SCIENCE</div><div>HISTORY</div><div>INDUSTRIAL HYGIENE</div><div>INSTRUCTIONAL SYSTEMS</div><div>INTERNATIONAL RELATIONS</div><div>LIBRARIAN</div><div>MATHEMATICS</div><div>MECHANICAL ENGINEERING</div><div>MEDICAL OFFICER</div><div>MUSEUM CURATOR</div><div>NAVAL ARCHITECTURE</div><div>NURSE</div><div>OCEANOGRAPHY</div><div>OPERATIONS RESEARCH</div><div>PHYSICS</div><div>PSYCHOLOGY</div><div>SAFETY ENGINEERING</div><div>SOCIAL SCIENCES</div><div>STATISTICIAN</div><div>TEXTILE TECHNOLOGY</div><div>WELDING ENGINEERING</div></div></div>	<div><div>BUDGET ANALYSIS</div><div>CLERK OF COURT</div><div>CLOTHING DESIGN</div><div>COMPUTER SPECIALIST</div><div>CONSTRUCTION ANALYST</div><div>CRIMINAL INVESTIGATING</div><div>DIST FAC AND STORAGE</div><div>MGMT</div><div>EMPLOYEE RELATIONS</div><div>ENVIRONMENTAL</div><div>PROTECTION SPECCL</div><div>EQUAL EMPLOYMENT</div><div>OPPORTUNITY</div><div>EQUAL OPPORTUNITY</div><div>COMPLIANCE</div><div>EQUIPMENT SPECIALIST</div><div>FACILITY MANAGEMENT</div><div>FINANCIAL ADMIN AND PROGRAM</div><div>FINANCIAL MANAGEMENT</div><div>GEN INSP, INVEST, AND COMP</div><div>GENERAL BUSINESS & INDUSTRY</div><div>GENERAL FACILITIES AND EQUIP</div><div>GENERAL INVESTIGATING</div><div>GENERAL SUPPLY</div><div>HEALTH SYSTEM ADMINISTRATION</div><div>HEALTH SYSTEM SPECIALIST</div><div>HOUSING MANAGEMENT</div><div>INSURANCE EXAMINING</div><div>INTELLIGENCE</div><div>INVENTORY MANAGEMENT</div><div>LOAN SPECIALIST</div><div>LOGISTICS MANAGEMENT</div><div>MANAGEMENT PROGRAM ANALYSIS</div><div>MILITARY PERSONNEL MANAGEMENT</div><div>MISC ADMIN AND PROGRAM</div><div>NAVIGATIONAL</div><div>INFORMATION</div><div>PARALEGAL SPECIALIST</div><div>PERSONNEL MANAGEMENT</div><div>PRINTING MANAGEMENT</div><div>PROGRAM MANAGEMENT</div><div>PROPERTY DISPOSAL</div><div>PUBLIC AFFAIRS</div><div>QUALITY ASSURANCE</div><div>REALTY</div><div>RECREATION SPECIALIST</div><div>SAFETY AND OCCUP HEALTH</div><div>MGMT</div><div>SECURITY ADMINISTRATION</div><div>SUPPLY CATALOGING</div></div>	<div><div>SUPPLY PROGRAM</div><div>MANAGEMENT</div><div>SUPPORT SERVICES ADMIN</div><div>TECHNICAL INFORMATION</div><div>SPEC</div><div>TECHNICAL WRITING AND EDITING</div><div>TELECOMMUNICATIONS</div><div>TRAFFIC MANAGEMENT</div><div>TRAINING INSTRUCTION</div><div>TRANSPORTATION</div><div>OPERATIONS</div><div>TRANSPORTATION SPECCLST</div><div>VISUAL INFORMATION</div><div>WRITING AND EDITING</div></div>	<div>Technical</div> <div><div>ACCOUNTING TECHNICIAN</div><div>BUDGET CLERICAL AND ASSISTANCE</div><div>COMMUNITY PLANNING</div><div>TEHCN</div><div>COMPLIANCE INSPECTION</div><div>AND SUPP</div><div>COMPUTER CLERK AND ASSISTANT</div><div>COMPUTER OPERATION</div><div>CONSTRUCTION CONTROL</div><div>CONTACT REPRESENTATIVE</div><div>DENTAL ASSISTANT</div><div>DENTAL HYGIENE</div><div>EDUCATION AND TRAINING</div><div>TECH</div><div>ELECTRONICS TECHNICIAN</div><div>ENGINEERING DRAFTING</div><div>ENGINEERING TECHNICIAN</div><div>ENVIRONMENTAL</div><div>PROTECTION ASST</div><div>FINANCIAL CLERICAL AND ASSIST</div><div>FREIGHT RATE</div><div>GENERAL CLAIMS</div><div>EXAMINING</div><div>ILLUSTRATING</div><div>LEGAL CLERK AND TECHNICIAN</div><div>LEGAL INSTRUMENTS</div><div>EXAMINING</div><div>LIBRARY TECHNICIAN</div><div>MEDICAL RECORD TECHN</div><div>MGMT CLERICAL AND ASSISTANCE</div><div>MILITARY PAY</div></div>	<div>Clerical</div> <div><div>CASH PROCESSING</div><div>CLERK -TYPIST</div><div>CORRESPONDENCE CLERK</div><div>MAIL AND FILE</div><div>MEDICAL CLERK</div><div>SECRETARY</div><div>SECURITY CLERICAL AND ASSIST</div><div>TELEPHONE OPERATING</div><div>VOUCHER EXAMINING</div></div>	<div>Other</div> <div><div>FIRE PROTECTION AND PREVENTION</div></div>	<div>Blue Collar</div> <div><div>AIR COND EQUIPMENT MECHANIC</div><div>AIRCRAFT ELECTRICIAN</div></div>	<div><div>AIRCRAFT ENGINE MECHANIC</div><div>AIRCRAFT MECHAN PARTS REPAIR</div><div>AIRCRAFT MECHANIC</div><div>AIRCRAFT PNEUDRAULIC SYS MECH</div><div>AUTOMOTIVE MECHANIC</div><div>BOAT BUILDING & REPAIRING</div><div>BOILER PLANT OPERATING</div><div>CARPENTER</div><div>CHIEF ENGINEER</div><div>COOKING</div><div>CRANE OPERATOR</div><div>CUSTODIAL WORKER</div><div>ELEC MEASUREMENT INST</div><div>MECH</div><div>ELECTRICIAL EQUIP REPAIR</div><div>ELECTRICIAN</div><div>ELECTRICIAN (HIGH VOLTAGE)</div><div>ELECTRONIC INTEGRATED SYS MECH</div><div>ELECTRONICS MECHANIC</div><div>ELECTROPLATING</div><div>ENGINEERING EQUIPMENT OPERATOR</div><div>FUEL DISTRIBUTION SYS OPERATOR</div><div>GARDENING</div><div>GENERAL EQUIPMENT MECHANIC</div><div>HEATING AND BOILER PLANT MECH</div><div>HEAVY MOBILE EQUIPMENT OPER</div><div>INDUSTRIAL EQUIP MECHANIC</div><div>INSTRUMENT MECHANIC</div><div>INSULATING</div><div>LABORING</div><div>LOCKSMITH</div><div>LOFTING</div><div>MACHINING</div><div>MAINTENANCE MECHANIC</div><div>MARINE MACHINERY</div><div>MECHANIC</div><div>MASONING</div><div>MASTER</div><div>MATERIALS EXPEDITING</div><div>MATERIALS HANDING</div><div>METAL FORGING</div><div>MISC AIRCRAFT OVERHAUL</div><div>MISC GEN MAINTENANCE & OPS</div><div>MISC INDUSTRIAL EQUIP OPER</div><div>MISC METAL WORKER</div></div> <div><div>MISC TRANSP/MOBILE EQUIP</div><div>MAINT</div><div>MISC TRANSP/MOBILE EQUIP OPER</div><div>MISCELLANEOUS ENGINE OVERHAUL</div><div>MISCELLANEOUS VESSEL JOBS</div><div>MOTOR VEHICLE OPERATING</div><div>NAVIGATION AIDS</div><div>REPAIRING</div><div>OFFSET PRESS OPERATING</div><div>OIL DIESEL</div><div>OILING & GREASING</div><div>ORDANCE EQUIP MECHANIC</div><div>PACKER</div><div>PAINTER</div><div>PIPEFITTING</div><div>PLANNER/ESTIMATOR (ELECTRICAL)</div><div>PLUMBING</div><div>PNEUDRAULIC SYSTEMS MECHANIC</div><div>PNEUMATIC TOOL OPERATING</div><div>POWERED SUPPORT SYS MECHANIC</div><div>PRESERVATION PACKAGING</div><div>PRODUCTION MACHINERY MECHANIC</div><div>QUARTZ CRYSTAL TECH</div><div>RIGGING</div><div>RUBBER EQUIPMENT REPAIRING</div><div>SANDBLASTING</div><div>SHEET METAL MECHANIC</div><div>SHIPFITTING</div><div>SHIPWRIGHT</div><div>TELECOM MECH</div><div>TOOL & EQUIPMENT REPAIRING</div><div>TOOLMAKING</div><div>TOOLS AND PART ATTENDING</div><div>UPHOLSTERING</div><div>UTIL SYS REPAIRING- OPERATING</div><div>WELDER</div><div>WOOD CRAFTSMAN</div><div>WOOD WORKER</div></div>
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Special Skills

Training

Two major features distinguish the training of civilians from the training of the active and Reserve components. First, civilian training often emphasizes the career development of the individual rather than the training needed to perform the immediate job task. Training of the military workforce primarily addresses the acquisition of technical skills and abilities. Second, in the competition for scarce training funds, operational training needs of the military workforce generally eclipse the training needs of civilians.

Like the military workforce, the formal training of civilians occurs on a *resident* or *nonresident* basis. Through the Training Management System (TMS), the Coast Guard tracks civilian attendance and completion of resident training, reports individual training histories, and reports associated training travel expenses. This data is then downloaded by tape transfer to the Civilian Personnel Management Information System (CIVPMIS). Only training that lasts a minimum of eight hours in duration is credited to the employee's CIVPMIS record.¹⁹⁵

Civilians receive formal training from a variety of sources, including the Coast Guard, DOD, U.S. Department of Agriculture Graduate School extension courses, other federal agencies and vendor training. In addition, civilians participate in correspondence courses, tuition assistance, and on the job training.¹⁹⁶

Federal regulation and Service policy link an employee's promotability to productivity as reported in personnel appraisals. Since a guiding civil service principle is that training enhances performance and therefore promotability, a body of regulation (5 CFR 410) requires that training be offered to employees on an equitable basis. Specifically, supervisors of civilian personnel must consider the following factors in deciding whether to send an employee to training:¹⁹⁷

- Relative degree of the employee's need for training.
- Relative potential of the employee for advancement.
- Relative extent to which training will improve one's knowledge, skills and abilities.
- Relative ability of employees to transfer this learning on to others in the workplace.
- Relative length of time and degree to which the Service will benefit from this individual's training.
- Previous training opportunities afforded the employee.
- Employee's desire to improve his/her performance.

Thus, by regulation and culture, the decision to assign a civilian employee to training is one intended outcome of the mentoring relationship between the supervisor and the employee.

Qualification, Certification and Currency

An employee's qualification, certification of qualification, and currency of certification to perform a job are tracked locally by the cognizant Command Staff Advisor, as necessary.

¹⁹⁵ Tracking Civilian Training Data in the CIVPMIS, COMDTINST M12298.4, para. 2.

¹⁹⁶ Defined here as enhanced supervision of the employee in the workplace.

¹⁹⁷ *United States Coast Guard Civilian Personnel Procedures for Supervisors*, USDA Graduate School, pg. 10-TRAIN.

Promotion

Merit Promotion Principles

The principles that facilitate promotion are rooted in the Merit System Principles. Under the provisions of 5 CFR 335, agencies of the federal government are authorized to develop and manage their own merit protection programs, provided the following conditions are met:¹⁹⁸

- Agency initiatives must be based on merit, and all actions taken must be job-related. Personnel actions covered by the merit protection plan must be specified. Procedures must be made available to all candidates.
- The geographic area of consideration must be large enough to allow for an adequate number of high quality candidates.
- Selected candidates must meet qualification standards for the position, and their evaluations must be consistent with 5 CFR 300.
- Management has the right to select from the best qualified candidates.

For the purposes of this study, promotion from one grade to another typically means a move from one civilian position to another. Consequently, this report considers such moves as an accession from within the federal service.

Performance Appraisal Systems and Promotion

The civilian performance appraisal process is founded on the identification of critical job elements (CJEs), the duties performed by a civilian that contribute to accomplishing organizational goals and objectives: “It is of sufficient importance that performance below the ‘Needs Improvement’ level requires remedial action and may be the basis for removing or reducing the grade level of that employee.”¹⁹⁹ Noncritical job elements are also identified. Performance in these noncritical areas may affect the employee’s overall performance rating.²⁰⁰

The supervisor is encouraged to review the CJEs with the employee at the beginning of the year to articulate performance expectations, and to identify standards by which the employee’s performance will be measured. Performance is reviewed every six months culminating in an annual appraisal. At that time an overall performance rating or *summary rating* is assigned using a five point scale (DISTINGUISHED - MERITORIOUS - PROFICIENT - NEEDS IMPROVEMENT - UNSATISFACTORY).²⁰¹ This summary rating serves as the *rating of record* which is used as the basis for key personnel decisions, including promotion.²⁰²

¹⁹⁸ United States Coast Guard Civilian Personnel Procedures for Supervisors, USDA Graduate School, pg. 19-STAFF.

¹⁹⁹ Performance Management System, COMDTINST M12430.6A, para. 1.F.

²⁰⁰ *Ibid.*, para. 1.H.

²⁰¹ United States Coast Guard Civilian Personnel Procedures for Supervisors, USDA Graduate School, pp. 13-PERFMGT - 19-PERFMGT.

²⁰² *Ibid.*, Performance Management System, COMDTINST M12430.6A, para. 1.N.

Career Ladders

In the resource planning process, position sponsors may identify a range of pay grades within which the position incumbent may advance. Typically these career ladder positions may start at the grade of GS-5 and allow advancement to as high as GS-12. Advancement is contingent on satisfactory performance of duty and a demonstrated potential to perform in that job series at the next higher pay grade.

Step Increases

GS employees qualify for step increases within their pay grade either in the form of “Within-Grade Increases” or “Quality Step Increases.” Employees qualify for a “Within-Grade Increase” when their most recent rating of record is “Fully Successful” or higher. These increases are scheduled over time; see Table 25 below.

Table 25 - Schedule of Within-Grade Increases (GS Employees only)²⁰³

To advance to these steps...	increases occur no sooner than after this many weeks elapse...
2,3,4	52
5,6,7	104
8,9,10	156

“Quality Step Increases” are awarded meritoriously when an employee’s most recent rating of record is identified as “Distinguished,” and the employee is expected to continue at this high level of performance. Employees are limited to one Quality Step Increase every 52 weeks; however, the award of a Quality Step Increase does not reset the waiting period for a Within-Grade Increase.

Wages for GM employees are tied to the employee’s performance appraisal. The GM employee’s supervisor may award an increase of one step, a fraction of one step, or no increase in wage step.²⁰⁴

See Appendix III for current rates of GS basic pay.

²⁰³ 5 CFR 531.405.

²⁰⁴ Coast Guard Performance Management and Recognition System, COMDTINST M12540.4, para. 5.A.1.b.

Assignment and Transfer

Note that this section is retained to maintain consistency in the study's framework: civilians typically are not *assigned* or *transferred* to civilian positions in the way that these terms are used in the military workforce. In the OPM lexicon, transfer describes the movement of a civilian employee from one federal agency to another. In the Coast Guard, the word denotes the internal movement of a military member on orders from one duty station to another. Civilian employees may be reimbursed for the movement of their household goods from one geographic location to another. However, the movement of a civilian employee between postings results in the simultaneous vacating of the old position and the accession to a new position. (Since the member continues service without a break, the detachment and movement to the new job occur within the federal employment system).

One exception to this rule is the *detailing* of employees, a practice in which an employee with a needed skill set is temporarily assigned to perform duties in a different position. Employees may be detailed to duties inside or outside of the Coast Guard to meet short term (i.e., fewer than 120 days) needs.

“A detail is an effective method of dealing with short-term requirements for additional staffing and for improving the effectiveness of employee utilization. Details of Coast Guard employees will normally be made only when Coast Guard needs cannot be met by other desirable or practical means, and should be confined to the shortest possible period of time in order to avoid compromise of competitive principles of the merit system, and position classification and pay principles.”²⁰⁵

²⁰⁵ Detail of Civilian Employees, COMDTINST 12300.7, para. 4.

Separation from Service

Process reengineering, government downsizing, and the economy influence an employee's likelihood of leaving federal service, just as in the military components. While social influence may not exert pressure on current employees to leave federal service with the Coast Guard, evidence suggests that the civilian workforce component is aging. The average age of the civilian workforce was 45.5 in 1997, compared with 42.8 in 1985. At the same time, the average civilian tenure in the Coast Guard was 9.9 years (15.8 years total federal service), up from 8.4 years in 1985.²⁰⁶ This represents a troubling issue for the civilian workforce component. Whether they decline employment with the Coast Guard because of better opportunities in the private sector, or because federal service does not provide career insurance to the risk averse, younger workers do not affiliate with the Coast Guard as quickly as older workers exit.

Civilians are separated from employment with the Coast Guard through six avenues:

- they are forced out through a reduction in force (RIF);
- they transfer to another federal agency;
- they leave federal service temporarily or permanently;
- they are removed for cause;
- they incur a job related disability; or
- they retire.

Unlike the military components, separations from the civilian workforce represent a de facto loss of skills to the Coast Guard.

Sizing the Force Through RIFs

The Coast Guard downsized its permanent full time civilian workforce from 5,775 at the end of FY94 to 5,215 at the end of FY97, a 10.7 percent reduction.²⁰⁷ Long time employees of the Coast Guard note that the Coast Guard has conducted RIFs approximately once every three to five years since the early 1980s. During the last RIF that began in FY94 and continued through FY96, the Coast Guard offered "early out" retirement packages to civilians with over 25 years of federal service. Those who did not qualify for early retirement were placed elsewhere in federal service or were given severance packages.

Transfer to Another Federal Agency

"Transfer" in OPM parlance has the effect of a quit to in which the employee leaves the Coast Guard pursues a job with different agency. Career and career-conditional employees may transfer to a position open to status candidates in another federal agency. The transfer can consist of a move to a different pay grade or job series.²⁰⁸

²⁰⁶ CIVPMIS data extracts for September 30, 1997. FY85 Report on Status of the Coast Guard Civilian Workforce, COMDTNOTE 12298 of January 19, 1986, pp. 10-12.

²⁰⁷ Comparison of CIVPMIS data extracts for September 30, 1994 and August 31, 1997.

²⁰⁸ See <http://www.usajobs.opm.gov/.htm> (OPM General Information Home Page).

Removal

Civilians may be removed from federal service in cases where a major deficiency in conduct or performance occurs to “promote the efficiency the service.”²⁰⁹ While particularly serious incidents can precipitate immediate removal, the action for unacceptable performance normally occurs in the following administrative sequence.

- Counseling the employee on acceptable performance standards, minimal performance standards, and guidance on performance improvement.
- Submission of the employee’s CJE, performance standards, and documented observations of performance deficiencies to the civilian personnel officer.
- Notice of unacceptable performance issued to the employee; notice includes a Performance Improvement Plan, and provided an opportunity to demonstrate acceptable performance.
- Documentation of performance during the period in which the employee has the “opportunity to demonstrate acceptable performance”. Documentation should include the following information.²¹⁰
 - specific results of performance;
 - work samples;
 - documented instances of assistance to improve employee performance; documented discussions of CJE, performance standards, and the importance of performance standards;
 - dates, places and witnesses of critical incidents, discussions and counseling;
 - documented instances of training and coaching by others; and
 - documented referrals to employee assistance when necessary.
- Advance notice of proposed action.
- Written decision on action to be taken.
- Removal decisions may be appealed to the Merit Systems Protection Board.

This listing of removal procedures shows that the placement of the wrong worker in a civilian position could result in substantial transaction and opportunity costs to the local command.

Disability

Employees may be retired from federal service for a job related disability. If the employee elects to participate in the Civil Service Retirement System (CSRS), they are eligible for retirement if they have completed five years of creditable civilian service and the disability prevents the employee from serving in the current position or in a vacancy elsewhere in the Service. Employees who opt into the Federal Employees Retirement System (FERS) are eligible for retirement if (1) the employee is unable to serve in the current position or in any other Coast Guard position within the commuting area, and (2) the employee has completed 18 months of creditable civilian service.²¹¹

²⁰⁹ Civilian Personnel Actions, COMDTINST M12750.4, para. 1.A.

²¹⁰ *Ibid.*, chapter 2.

²¹¹ All disability-related information in this section is taken from United States Coast Guard Civilian Personnel Procedures for Supervisors, USDA Graduate School, pp. 16-BENEFITS - 24-BENEFITS.

Retirement

Guaranteed retirement attracts many individuals to government employment. Employees elect participation in CSRS or FERS upon entry to federal service. CSRS and FERS differ in the eligibility and disbursement of payments. Requirements for minimum age and time served are summarized in Table 26.

Table 26 - Federal Retirement System Eligibility Criteria²¹²

	Minimum Age	Minimum Service	Special Requirements
CSRS			
Voluntary or Mandatory	62	5	
	60	20	
	55	30	
Optional (Early)	50	20	Law enforcement officers, air traffic controllers.
	Any Age	25	Major reorganization, transfer of function, or RIF.
	50	20	
Discontinued Service	Any Age	25	Involuntary separation (not related to misconduct; did not decline a reasonable offer).
	50	20	
Disability	Any Age	5	Disabled for current position, no vacancy available in Coast Guard.
Deferred	62	5	Pension contributions not removed upon separation.
FERS			
Voluntary or Mandatory	62	5	
	60	20	
Optional	55-57 ²¹³	30	
	MRA	10	Complete 10 years, including 5 years of civilian service.
	50	20	Law enforcement, firefighters, air traffic controllers.
Involuntary	Any Age	25	Major reorganization, transfer of function, or RIF determined by OPM.
	Any Age or 50	25 or 20 (respectively)	Involuntary separation (not related to misconduct; did not decline a reasonable offer).
Disability	Any Age	18 months	Disabled for current position, no vacancy available in Coast Guard.
Deferred	MRA	10	Unreduced monthly benefit at age 62, or receive reduced monthly benefit beginning at MRA if there is at least 10 but less than 30 years service. Reduction is 5% per year for each year that MRA is under 62.

²¹² *Ibid.*

²¹³ MRA is scaled based on the employee's birth year. Reference:

Summary

Management of the civilian component differs significantly from management of either the active or Reserve components. The civilian workforce complements the regular Coast Guard by providing skills in occupational areas and in quantities that the military components cannot sustain. Congress has urged the Coast Guard to make greater use of civilian employees in part to achieve the savings inherent in lower costs associated with the employment of civilian workers, particularly in administrative support roles.

Civilian employees perform duties in accordance with critical job elements specified for their positions and are compensated for duty performed outside of established work hours (e.g., differential pay for occasions such as holiday, Sunday, and overtime work). The vast majority of civilian employees are not subject to “permanent change of station” assignments; this stability in civilian assignments contrasts sharply with the active component which transfers 25 percent or more of its strength each year. (See the “Assignment and Transfer” section of Chapter 2, “Active Component Profile”). Civilian personnel management procedures are prescribed in detail by a number of sources, including four cabinet level agencies, three independent commissions, and the courts.

After profiling the civilian component in this chapter, and the active and Reserve components in Chapters 2 and 3 respectively, this paper will next examine an unpaid, civilian, volunteer component of the Service: the Coast Guard Auxiliary.

Chapter 5.

Auxiliary Component Profile

In reviewing staffing alternatives, the FOT should consider any one of the four components of the Coast Guard workforce. Thus far, this paper has addressed three of these components: the active duty Coast Guard, the Coast Guard Reserve, and the civilian component.

This chapter profiles the Coast Guard Auxiliary, a nationwide force of over 35,000 unpaid volunteers. On an average day in 1995, the Auxiliary educated 929 citizens on boating safety and marine environmental protection, assisted on 19 search and rescue cases, and saved \$729,000 in property.²¹⁴ The Auxiliary's primary missions are recreational boating safety and support to the Coast Guard in traditional and non-traditional activities.²¹⁵

Disposition

Structure & Personnel Categories

The Coast Guard Auxiliary is a volunteer force founded on the four cornerstones of *courtesy marine examinations, public education, operations, and fellowship*.²¹⁶ Today, the Auxiliary has broadened its service to the Coast Guard; its purpose “is to assist the Coast Guard as authorized by the Commandant, in performing any Coast Guard function, power, duty, role, mission, or operation authorized by law.”²¹⁷

Members do not possess military status or law enforcement authority. Auxiliarists are reimbursed for expenses incurred in the performance of duty served under written orders, but otherwise receive no compensation. Auxiliarists wear the same “Bender” blue uniform that the military components wear; however, the use of silver braid (instead of gold), the presence of a silver or red “A” on various insignia, and a distinctive hat device distinguish the auxiliarist’s uniform. In addition, Auxiliary “facilities” – privately owned boats, aircraft, radio stations, or radio detection finding stations used in the performance of Auxiliary missions – are marked by a variety of distinctive pennants, placards, and designations.

Coast Guard support of the Auxiliary is provided at the national level by the Headquarters Office of Auxiliary, as well as by the Chief, Boating Safety Division in each Coast Guard district. The Auxiliary also maintains a four-level chain of command structure. These levels are: the flotilla (local unit), division (combination of flotillas in one geographic area), district (comprised of divisions and flotillas in one Coast Guard district), and national levels. Each level is managed by a board, which is chaired by an executive (“commander,” “captain,” or “commodore”) and an assistant (with the prefix “vice”). Both the Coast Guard and the Auxiliary chains of command provide policy direction, program support, and limited oversight. However, the Auxiliary is predominantly an autonomous, grassroots organization whose units operate under locally established “standing rules.” The four levels are described as follows.

- Flotilla. The basic organizational unit of the Auxiliary is the flotilla. The flotilla is comprised of at least 15 members. The purpose of the flotilla is to deliver service to the public and to active duty commands. Flotilla members elect a commander and a vice commander. The flotilla commander appoints a number of staff officers to assist in the administration of the unit.
- Division. A division controls five or more flotillas in a geographic area; it exists “to support the flotillas by providing administrative and training support.”²¹⁸ The division assists the district director of Auxiliary to implement policy, administers local growth of the Auxiliary, organizes division activities,

²¹⁴ _____, (U.S. Coast Guard), *1996 Coast Guard Fact File*, pp. 13.

²¹⁵ _____, (U.S. Coast Guard), *Auxiliary Manual*, COMDTINST M16790.1D, para. 2.A.3.

²¹⁶ *Ibid.*, para. 2.A.2.

²¹⁷ 14 U.S.C. 822.

²¹⁸ _____, (U.S. Coast Guard), *Auxiliary Manual*, COMDTINST M16790.1D, para. 4.D.2.b.

and conducts the election of division officers. The division board consists of a division captain and vice captain, the immediate past division captain, and all flotilla commanders.

- *District*. A district controls all divisions and flotillas within one Coast Guard district or – in the case of very large districts – within one region. (For example, the First Coast Guard District has a First District North and First District South region). A district board implements Coast Guard and national Auxiliary policy within the district, recommends changes to national policy, and directs subordinate Auxiliary units when appropriate.

The district board consists of the director of Auxiliary (an active duty officer who represents the Coast Guard district commander, and ensures compliance with applicable Auxiliary directives), the district commodore, vice commodore, and two rear commodores (all elected); the immediate past district commodore; and all division captains within the district. A district executive committee, which manages the day-to-day operation of the Auxiliary district, consists of the district board less the division captains.

- *National*. The national level assists the Commandant of the Coast Guard in developing and executing Auxiliary policy. The national board is comprised of: the national commodore, vice commodore, and rear commodores²¹⁹ (elected); the immediate past national commodore; the chief director of the Auxiliary (Commandant (G-OCX)); all district commodores; and the President of the National Association of Past District Commodores. Like the district-level executive committee, an executive committee of the national board manages the day-to-day operations of the Auxiliary. The committee is made up of the same members as the national board less the district commodores and the President of the National Association of Past District Commodores.

In addition to elected and appointed staff positions, auxiliarists belong to one of five categories.²²⁰ The four primary categories are *Basically Qualified*, *AUXOP*, *Retired*, and *Life* membership.

- *Basically Qualified*. This is the level at which new members enter Auxiliary service.
- *AUXOP*. An acronym for “Operational Auxiliarist,” this designation identifies auxiliarists who have completed the Auxiliary’s seven advanced specialty courses.
- *Retired Status*. “Retired” is not a membership category per se, and is not intended for all members. It is an honor reserved for members who have served at least 15 years in the Auxiliary, who have made “continuous significant contributions”²²¹ to the Auxiliary and the Coast Guard during that time, and who request retired status from the district director.
- *Life Membership*. Like retired status, life membership is an award reserved for past district commodores.

²¹⁹ National rear commodores represent the geographic needs of the Eastern, Central and Western Auxiliary Areas. *Ibid.*, para. 4.D.6.c.

²²⁰ The fifth category of “Honorary Membership” is awarded to non-auxiliarists who either contribute significant service to the Auxiliary, or to people of national prominence.

²²¹ *Ibid.*, para. 3.B.3.

Promotion

Members advance through election to a leadership position, or by appointment as a staff officer at any of the administrative levels already described.

Distribution Across ATUs

Table 27 summarizes the distribution of auxiliarists across all Coast Guard districts as of July 24, 1997. Though available data totaled 30,137 members in 1997 (data for the Fifth District (South) were not available), the Auxiliary reported a total strength of over 35,000 in 1995.

Table 27 - Distribution of Coast Guard Auxiliarists²²²

District	Region	Count	Coast Guard District Total
01	Northern	2,750	5,924
	Southern	3,174	
05	Northern	3,029	3,029
	Southern	Not available	
07	n/a	4,849	4,849
08	Eastern	1,685	5,699
	Coastal	1,977	
	Western	2,037	
09	Eastern	1,281	4,318
	Central	1,467	
	Western	1,570	
11	Northern	1,611	3,875
	Southern	2,264	
13	n/a	1,592	1,592
14	n/a	511	511
17	n/a	340	340
Total		30,137	30,137

²²² Source: Office of Auxiliary staff data extract provided to Forecasting and Systems Staff, July 24, 1997.

Costs

Resources for the Auxiliary are sourced through the Coast Guard's programming and budgeting system. Funds are appropriated through the Operating Expenses appropriation (AFC-30). Data on the average cost of Auxiliary operations were not available for this report. However, funding for the Auxiliary pay for overhead costs (e.g., full time staffing and the consumption of materials), meals consumed by the auxiliariist in the course of duty, reimbursement for expenses incurred in the operation of the member's facility (e.g., fuel costs and the cost of repairs), and damages to or caused by the auxiliariist in the performance of duty.

Accessions

Eligibility for membership in the Auxiliary is not nearly as stringent as affiliation with the other three Coast Guard components. Candidates apply to the district director. Basic requirements for membership are as follows:

- Member must be 17 years of age or older.
- Member must hold U.S. citizenship.
- Member must own at least a 25 percent share of a privately-owned boat, yacht, aircraft, or radio station that meets standards prescribed by the Auxiliary; or
- Member must possess special training or experience such as a licensed pilot, radio operator, professional mariner, or as an educator. Other qualifying skills include knowledge of computers, data processing ability, membership in the U.S. Power Squadrons, or certification as a Red Cross First Aid Instructor.
- Member must reside within the boundaries of the Coast Guard District.
- Member has never been convicted of a felony.

The candidate must meet basic eligibility requirements for membership (above), complete a series of entry level education and testing requirements, and be approved by the director for enrollment in the Auxiliary in order to be designated “Basically Qualified.”

Occupations

Auxiliarists may be employed in any “function, power, duty, role, mission, or operation” of the Coast Guard, subject to the limits of Title 14, U.S. Code and the Commandant of the Coast Guard.

While Auxiliarists cannot execute direct law enforcement missions, they may support certain Coast Guard law enforcement activities. The key restriction is that NO command can vest in Auxiliarists with general police powers (that is, powers to search, seize, or arrest) or give Auxiliarists any direct role in a law enforcement action.²²³

Thus, auxiliarists often contribute service in one or more of these 14 programs and program areas:²²⁴

- Courtesy Marine Examinations.
- Public Education.
- Operations.
- Coast Guard Academy Introduction Mission.
- Recruiting Assistance Program.
- National Safe Boating Week.
- Boat Show Participation.
- Aids to Navigation and Chart Updating.
- Marine Dealer Visitation Program.
- Commercial Fishing Vessel Examinations.
- Coast Guard Public Affairs Support.
- Auxiliary State Liaison Program.
- Marine Environmental Education and Protection.

²²³ _____, (U.S. Coast Guard), *Auxiliary Operations Policy Manual*, COMDTINST M16798.3D, para. 4.F.1.

²²⁴ _____, (U.S. Coast Guard), *Auxiliary Manual*, COMDTINST M16790.1D, para. 2.A.5.

Specialties

Basically Qualified auxiliarists may pursue specialties that allow them to participate in the program areas identified above. Like the military components, in many cases the auxiliarist must achieve an initial qualification and remain proficient qualification in order to retain the qualification. The following is a list of primary specialties.

- Vessel examiner.
- Instructor.
- Auxiliary boat crewmember or coxswain.
- Auxiliary air observer, co-pilot, first pilot, or aircraft commander.
- Marine dealer visitor.

In addition, auxiliarists may participate in other activities such as: watchstanding (at Coast Guard or Auxiliary facilities), augmentation of Coast Guard vessels, regatta safety patrols, and disaster relief.

Advanced Training

Basically Qualified auxiliarists are afforded the opportunity to pursue any or all seven of seven advanced courses in operations and administration: seamanship, navigation, communications, search and rescue, patrols, weather, and Auxiliary administration. In addition to these Auxiliary courses, members may attend regular Coast Guard schools in search and rescue mission planning, or participate in any unclassified Coast Guard correspondence course.

Assignment and Transfer

Members are assigned to a flotilla in the area in which they live. When the employment of a member's facility (e.g., boat, aircraft, or communications trailer) is necessary, a sponsoring Coast Guard unit issues written or verbal orders from a sponsoring Coast Guard unit commander. While the preferred method of issuing orders is in written form, using either Auxiliary Patrol Orders or the Coast Guard Standard Order Form, verbal orders may be issued in an emergency. Orders must specify the type of duty, a description of the mission, the date and time of the mission, the minimum number of qualified crewmembers required, and the identities of any non-auxiliarists who will be on board. Orders are either designated as reimbursable or nonreimbursable.²²⁵

Work-related activities that do not require the movement of a member's facility (e.g., a courtesy marine examination administered pier side) do not require the issuance of orders.²²⁶

Members are enrolled in the Auxiliary within the boundaries of the Coast Guard district in which they reside. Auxiliarists may request a transfer within a district or between districts. The request is normally granted after it is reviewed by the flotilla commander and the director. The director may deny the transfer request for any of the following reasons: the member is delinquent in meeting his/her financial obligations to the current flotilla; the member has not returned Auxiliary or Coast Guard property; or the member is the subject of an investigation or administrative proceeding.²²⁷

²²⁵ _____, (U.S. Coast Guard), *Auxiliary Operations Policy Manual*, COMDTINST M16798.3D, para. 5.A.1-5.A.3.

²²⁶ *Ibid.*, para. 5.A.4.

²²⁷ _____, (U.S. Coast Guard), *Auxiliary Manual*, COMDTINST M16790.1D, para. 3.D.

Separation from Service

Procedures for disenrolling members are specified in Auxiliary Manual, paras. 3.E. The decision to disenroll the member is made by the director or district chief of staff; no member of the Auxiliary may disenroll another member. In summary, auxiliarists are disenrolled for the following four reasons.

- Member's request.
- Failure to pay financial obligations (i.e., meet annual dues to the flotilla).
- Conviction of a felony. (The director immediately suspends the individual's membership when the member's arrest is made known; the member is disenrolled upon conviction).
- As the last step in a series of disciplinary administrative actions.

Auxiliarists who incur an injury, sickness, or disease as a result of performing "any specific duty" for the Coast Guard are entitled to payment of their medical bills, and – in cases where the member is disabled – may receive compensation for any resulting loss in wages.²²⁸ Disability compensation for the auxiliarist is based on a GS-9, step 1 base pay; eligible members receive 75% of this base pay if the member has dependents, and 66.67% if the member has no dependents.²²⁹

²²⁸ 14 U.S.C. 707 and 832.

²²⁹ _____, (U.S. Coast Guard). Workers' Compensation Policies and Procedures, COMDTINST M12810.2, para. 4.B.1.

Summary

While members of the Coast Guard Auxiliary do not hold military status or law enforcement authority, they may be employed in a wide array of traditional and non-traditional activities (e.g., courtesy marine examinations, public education, search and rescue, and support of pollution response). The Auxiliary is a grassroots organization that works directly with active duty Coast Guard commands, receiving administrative support and limited policy guidance from Headquarters program managers and from elected boards at division, district, and national levels. For its contributions to the Coast Guard, particularly in educational outreach and operational support, the Auxiliary is perhaps the most cost effective – albeit somewhat limited – staffing alternative available to the FOT.

With a better understanding of the active (Chapter 2), Reserve (Chapter 3), civilian (Chapter 4), and Auxiliary (Chapter 5) components, this paper will next propose a decision support model to be used when considering how best to staff the Coast Guard.

Chapter 6.

Decision Support Model

To a greater or lesser degree, experienced operational commanders and program managers have an intuitive sense of what each of the four components can contribute to the Service. However, their sense of how best to allocate these resources varies significantly. This paper has already profiled the flow of human resources through parallel—though not redundant—personnel systems. By viewing the Coast Guard workforce through a workforce model such as the one described in Chapter 1, FOTs, operational commanders, and program managers may find an integrative approach to human resource management that may not only appear feasible but inevitable.

*This chapter proposes a method to evaluate the known characteristics of the four workforce components into an integrated decision framework. Applying the concept of a “single dimensional value function,” the proposed method aims to make staffing decisions more consistent and better informed – in short, to achieve **optimizing** staffing decisions.*

Decision Criteria Overview

Administrative firewalls have prevented the Coast Guard from effectively leveraging the four workforce components. In large part, this separation results from fiscal safeguards imposed on executive agencies. However, mounting external and internal pressures require that the Service examine ways to integrate its human resource management.

- GAO has recommended that the Coast Guard consider “measures that call for considerable change in its operating culture...or that stir public opposition” in order to eliminate the \$493 million gap between mission requirements and anticipated funding levels.²³⁰ Personnel consume the largest share of the Coast Guard’s budget and are thus vulnerable to further reduction.
- In a recent message to all Coast Guard personnel, the Commandant noted that, despite the success of recent streamlining efforts, the Service:

failed to streamline (its) way of doing business resulting in the workloads on our personnel being excessive in many instances. Efforts to date don’t even touch the tip of the iceberg. The workload on many of our people at all levels remains far too high.... In the very best spirit of Total Quality Management, the ideas on how to reduce the workload on the docks, deckplates, hangar decks and in the office spaces must come from those who do the work there.²³¹

Chapter 1 of this paper explained why better use of the total workforce will sustain the Coast Guard’s service to the public even as the threat of continued downsizing looms. Chapter 1 also made the case for why an integrative resource approach at the lowest levels of the Coast Guard, through the FOT, can bring about improvements in organizational performance. With the proper tools, FOTs could inform unit commanders on how tradeoffs in staffing alternatives can be made without sacrificing mission integrity. These tradeoffs would be founded on the answers to three fundamental questions involving *capability*, *availability*, and *cost*.

²³⁰ GAO, op cit.

²³¹ Kramek, Robert E., *Workload Reduction Initiatives*, COMDT COGARD Washington, DC 192016Z Dec 97/ALCOAST 101.

- Capability. “What capabilities – or combination of skills – must I have to accomplish my mission?” This question asks the unit commander to define the attributes and skills that are needed for satisfactory mission performance. Stated another way, questions of *capability* help describe what skills are needed to accomplish the mission.
- Availability. “Are workers with the desired skills available where and when I need them?” Three conditions help shape the answer to this question. First, the question asks whether such workers exist anywhere in the labor force, and – more importantly – what is the probability that members of that population will affiliate with one of the four Coast Guard components. Second, assuming that these workers would be willing to work for the Coast Guard, the question asks how long they are available during a typical duty period (day or workweek) once they are employed. Third, the question asks how many workers with these qualifications are needed.
- Cost. “How much will labor cost?” Cost is an expression of price equilibrium in a highly regulated labor market. The term *cost* is used in an economic sense, though it is normally discussed in terms of the accounting costs of direct and indirect support of workers. The value of prevention and the value of intangibles such as good will and the know-how of Coast Guard members, are difficult to quantify though they impact the cost equation.

Capability

The Coast Guard, like most organizations, does not employ a harmonized index of job performance requirements, either within or between each component. Although development of such an occupational cross-reference would be valuable but impractical at this time, it could allow the Coast Guard to compare job performance requirements with the skills of each workforce component. In this way comparisons between workforce alternatives can also be drawn. In the absence of such an index, this paper considers capability in three areas of relevance to the Coast Guard: (1) knowledge, skills, and abilities; (2) worker attributes; and (3) statutory authority.

Knowledge, Skills, and Abilities (KSAs)

The notion of KSAs varies across the four components.

- *The active and Reserve components* rely on a two tiered occupational structure: (1) the enlisted force performs duties in accordance with established job performance requirements and local command needs, while (2) the officer corps is comprised of generalists who provide leadership, management, and technical expertise. In between the enlisted force and the officer corps, is the warrant officer corps that provides both management expertise and technical ability. The scope of work in the military components, even within specialized enlisted ratings, is broad.
- *The civilian component* is far more specialized. While OPM job series titles describe most civilian positions on the General Schedule (separate procedures exist for Federal Wage System workers), critical job elements prescribed for each employee are highly localized. This makes exact comparisons with the military component, as well as with other civilian positions, difficult.
- *The Auxiliary* occupies a kind of midpoint in occupational descriptions of the Coast Guard. Auxiliarists serve within a limited array of designated program areas, though individual assignments are tailored to meet the goals of the flotilla and unit commanders. In addition, qualified auxiliarists can move between specialties more easily than can their military or civilian counterparts.

A rough comparison of KSAs can be made across the active, Reserve, and civilian components in one of two ways. (Comparisons with the Auxiliary are set aside for now due to a lack of available information regarding the manner in which the Auxiliary manages its occupational areas). The FOT can either map military occupations to OPM titles, or map military occupations and OPM titles to a common taxonomy, such as Department of Labor occupational titles defined in the *Dictionary of Occupational Titles (DOT)*. The benefit of using DOT codes is that their nine-digit designation describes: the occupational category and industry; the nature of how workers interact with data, people, and things; and an “occupational differentiation code” that uniquely identifies a particular occupation from all others in the DOT.²³² Moreover, several private and public reporting systems use codes that link to DOT codes either directly or indirectly. The drawback to DOT codes is that a number of military occupations (e.g., Health Services Technicians, Radarmen, and several officer specialties) are excluded from the DOT taxonomy.

²³² Mayall, Don (ed.) (1994). *The Worker Traits Data Book - Specific Details on the 12,741 Jobs Listed in the Dictionary of Occupational Titles*, pp. 6-10. Indianapolis, IN:JIST Works, Inc.

DOD Occupational Crosswalk

This paper adopts the first approach in which military occupations (i.e., enlisted ratings, enlisted qualification codes, and officer experience indicators) are mapped to OPM titles using an occupational crosswalk developed by the Office of the Secretary of Defense and the five armed services.²³³ The crosswalk identifies a *rating of match* between each military occupation and closely related OPM titles on a scale of 1 (strong match) to 4 (weak match). Military occupations for which there was no match with OPM titles were rated as “valid non-match” or VNM. (“Military occupations” in the DOD crosswalk include Coast Guard officer experience indicators, enlisted ratings, and enlisted qualification codes; the crosswalk excludes warrant specialties). In addition, analysts reviewed each military-OPM title match to determine whether the two occupations were linked through a common DOT code.

The crosswalk shows that 81 percent of Coast Guard military occupations found at least one “strong” or “good” match with OPM job titles (480 of 591 matches). However, the crosswalk also shows that there were only 12 military occupations that linked *directly* to an OPM job title through a common DOT code – with nine of these 12 matches involving the Telecommunication Specialist rating. See Figure 7 and Table 28.

²³³ Undersecretary of Defense (Personnel and Readiness), *Defense Manpower Data Center Occupational Crosswalk and Data Field Specification Guide*, September 1995.

Figure 7 - Occupational Crosswalk Matches

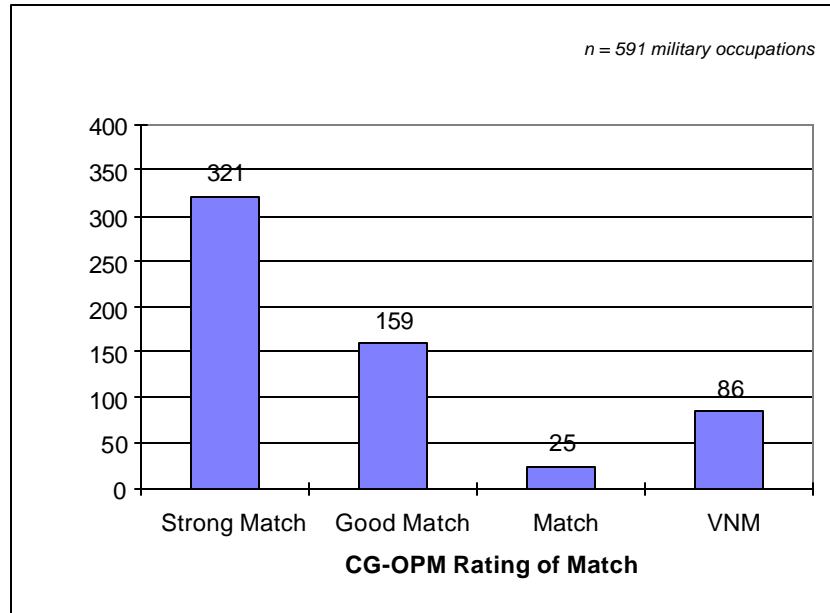
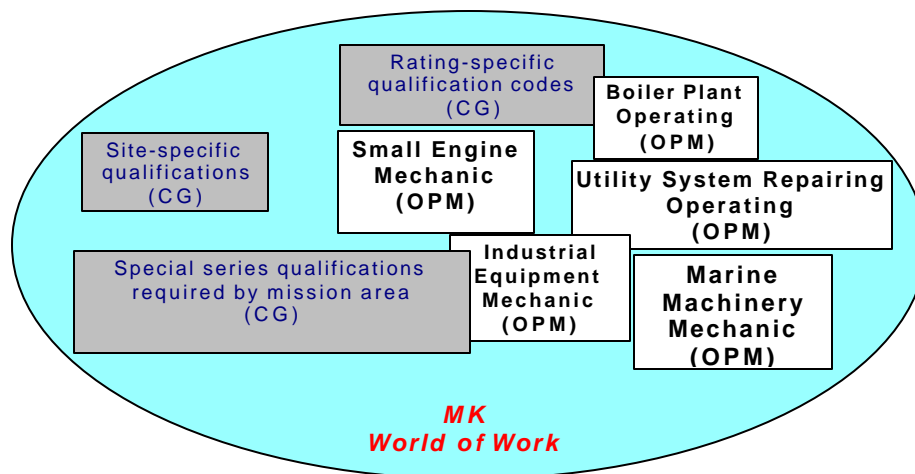


Table 28 - Common DOT Linkage

DOT Title	Military Occupation	OPM Job Series Title	Rating Match
NETWORK CONTROL OPERATOR	Telecommunications Specialist (E6-E9)	COMPUTER OPERATION SERIES	1
NETWORK CONTROL OPERATOR	Telecommunications Specialist (E4-E5)	COMPUTER OPERATION SERIES	1
SUPERVISOR OF COMMUNICATIONS	Telecommunications Specialist (E6-E9)	TELECOMMUNICATIONS SERIES	1
RADIOTELEPHONE OPERATOR	Telecommunications Specialist (E6-E9)	TELECOMMUNICATIONS PROCESSING SERIES	1
RADIOTELEPHONE OPERATOR	Telecommunications Specialist (E4-E5)	TELECOMMUNICATIONS PROCESSING SERIES	1
CRYPTOGRAPHIC MACHINE OPERATOR	Telecommunications Specialist (E6-E9)	OFFICE AUTOMATION CLERICAL AND ASSISTANCE SERIES	1
CRYPTOGRAPHIC MACHINE OPERATOR	Telecommunications Specialist (E4-E5)	OFFICE AUTOMATION CLERICAL AND ASSISTANCE SERIES	1
ADMINISTRATIVE CLERK	Yeoman (E4-E5)	SUPPORT SERVICES ADMINISTRATION SERIES	1
STOREKEEPER	Storekeeper (E4-E5)	GENERAL SUPPLY SERIES	2
RADIO MECHANIC	Telecommunications Specialist (E6-E9)	ELECTRONICS MECHANIC	1
RADIO MECHANIC	Telecommunications Specialist (E4-E5)	ELECTRONICS MECHANIC	1
SOUND TECHNICIAN	Telephone Technician (E4-E6)	SOUND RECORDING EQUIPMENT OPERATING	3

Note that the crosswalk highlights the difference in scope between military and civilian occupations. Consider the requirements for the Machinery Technician rating (MK). The crosswalk identifies five matches between the MK rating and OPM job titles. However, the MK world of work includes a number of *other* performance requirements, including rating-specific qualification codes, mission-specific qualification codes, and site-specific qualifications not found in the OPM taxonomy. See Figure 8.

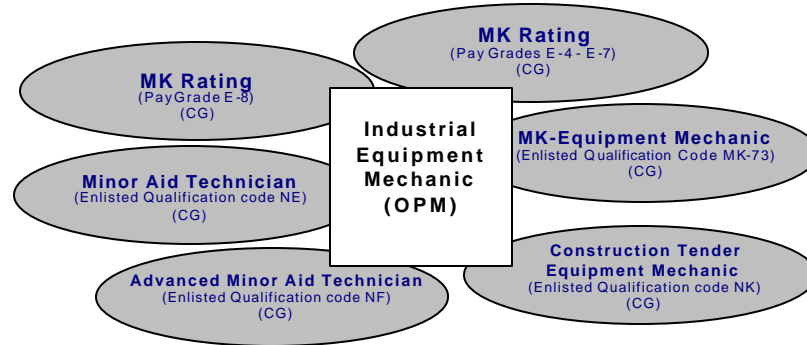
Figure 8 - Venn Diagram & Table: MK Rating Comparison with OPM Job Series Titles



Pav Grades	OPM Code	OPM Job Title	Rating
E-4 - E-7	5402	BOILER PLANT OPERATING	2
E-4 - E-7	4742	UTILITY SYSTEMS REPAIRING OPERATING	1
E-4 - E-7	5352	INDUSTRIAL EQUIPMENT MECHANIC	1
E-4 - E-7	8610	SMALL ENGINE MECHANIC	1
E-4 - E-7	5334	MARINE MACHINERY MECHANIC	1
E-8	3808	BOILERMAKING	1
E-8	5309	HEATING AND BOILER PLANT EQUIPMENT MECHANIC	1
E-8	5352	INDUSTRIAL EQUIPMENT MECHANIC	1
E-8	8255	PNEUDRAULIC SYSTEMS MECHANIC	1
E-8	0000	NONE	VNM
E-9	5782	SHIP OPERATING	2

One of the military-OPM crosswalk matches included the job title “Industrial Equipment Mechanic.” Matches for the Industrial Equipment Mechanic included the following military occupations: the MK rating; one MK-specific service qualification; and three special service qualifications that are frequently (though not exclusively) obtained by MKs. See Figure 9.

Figure 9 - Venn Diagram & Table: Industrial Equipment Mechanic Comparison to Military Occupations



Military Code	Military Occupational Title	Rating
MK 73	MACHINERY TECHNICIAN-EQUIPMENT MECHANIC	1
MK4-7	MACHINERY TECHNICIAN, THIRD CLASS TO CHIEF	1
MK8	MACHINERY TECHNICIAN, SENIOR CHIEF	1
NE	AIDS TO NAVIGATION-MINOR AID TECHNICIAN	2
NF	AIDS TO NAVIGATION-ADVANCED MINOR AID TECHNICIAN	2
NK	AIDS TO NAVIGATION-CONSTRUCTION TENDER EQUIPMENT TECH	1

A review of Figures 8 and 9 leads to the inevitable question: does one MK equal more than five civilian employees? The answer to this question is that it depends on the specific job. If the repair of industrial machinery dominates the requirements of a particular military billet, then an Industrial Equipment Mechanic may be an excellent substitute for the MK. However, if the assignment requires the job incumbent to understand several engineering subspecialties – e.g., as would be the case with a program manager at Headquarters, an instructor at a Coast Guard training center, or a supervisor of several technicians – then the MK will probably be the best alternative.

One limitation of the DOD crosswalk is that it reflects a bias towards military occupations. This is not surprising since it was originally designed as a transition assistance tool to advise soldiers, sailors, and airmen forced who were forced out of the military in the 1990s on civilian careers for which they could be qualified. So while the crosswalk identifies OPM titles that match a military occupation, it does not attempt to relate military occupations to specific OPM titles. At present, it is a useful device and starting place from which to base functional comparisons of military human capital and civilian human capital.

Cross Functional Nature of Military Occupations

Once an enlisted member earns a rating badge, she/he is assigned to a billet that may apply all, some, or none of the rating-specific knowledge. In effect, the Coast Guard pays its military workforce for skills that it may not presently use in order to grow a force that can be employed in a wide array of contingencies later. This approach is partly

driven by the nature of the internal labor market that comprises the military: the Service invests in its future leaders by providing extensive opportunity for cross-training at the apprentice and journeyman levels.

It also results from the role of the U.S. military as a kind of insurance that safeguards national security. As with any other form of insurance, the public pays a premium in the form of taxes to minimize its exposure to risk. While cross-functional training ensures that the Coast Guard and the other armed services are well prepared for war, it may result in an inefficient use of resources as over-qualified military workers are assigned to billets that rely upon an exceptionally narrow range of skills – e.g., consistently ordering MKs into a billet that only requires an Industrial Equipment Mechanic.

Worker Attributes

Workers must possess more than the knowledge, skills and abilities to be successful employees. *Worker attributes* equip an individual to perform the job correctly at the right time and in the right manner. Worker attributes can be categorized either as *physical and environmental* (i.e., the individual’s ability to perform in the environment typical of that occupation) or *intangible* (i.e., psychological, emotional, and mental characteristics). The basis for this review of worker attributes is *The Worker Traits Data Book*, a consolidated index of government and industry occupational observations and definitions.

- *Physical and Environmental Demands.* The physical demands of the job include the physical strength required for “average, successful work performance,” as well as the frequency with which certain physical activities or abilities are required (e.g., balancing, stooping, tasting, hearing, visual acuity, and color vision).²³⁴ The environmental demands of the job include 14 characteristics that describe the degree to which the worker is exposed to conditions such as cold, heat, noise, and vibration.²³⁵
- *Intangible Demands.* Intangible demands of the job include general educational development (divided into reasoning development, mathematical development, and language development), “specific vocational preparation scale” (which indicates the amount of time required to prepare for the job through vocational training, apprenticeships, on-the-job training, and prior work experience), and temperament.²³⁶ These intangible demands are measured by instruments rooted in the social sciences; results from these instruments can also serve as indicators of attributes that are more difficult to define, such as leadership ability. In addition, the Coast Guard imposes eligibility criteria on its new workers, most especially accessions into its military components. The Service enforces these standards in order to maintain public trust in the Coast Guard as a law enforcement agency, as well as to maintain its effectiveness as a military force. It is not surprising, therefore, that the Service’s adherence to government standards of ethics, public law, and military culture levy membership eligibility criteria act as significant sorting mechanisms that filter out a number of prospective employees from the society at large. See Table 29.

Table 29 - Disqualifiers for Initial Membership

Behavior or Offense	Active	Reserve	Civilian	Auxiliary
Felony conviction	X	X	Some	X
Drug use	X	X	Some	X
Failure to meet personal financial obligations	X	X	Some	

²³⁴ Mayall, op cit., pp. 15.

²³⁵ *Ibid.*, pp. 18.

²³⁶ *Ibid.*, pp. 11-14, 19-20.

Statutory Authority

Many jobs in the Coast Guard require the incumbent to hold military status. First, the nature of certain jobs require that the incumbent be subject to the Uniform Code of Military Justice (UCMJ) for the good order and discipline of the Coast Guard. Such positions include command and control elements, operational units, units that deploy in support of a combatant commander such as Navy Harbor Defense Commands and Coast Guard Port Security Units, and training commands.²³⁷ Second, under the provisions of 14 U.S.C. 89 and 14 U.S.C. 143, all Coast Guard personnel at or above the rank of petty officer third class are granted law enforcement authority. With the exception of a few civilians who serve as special agents of the Coast Guard Investigative Service, law enforcement authority in the Coast Guard resides with members of the military components.

In considering staffing alternatives, FOTs should note that a job requirement for military status – either for the good of the Service (UCMJ authority) or for the execution of law enforcement authority – reduces the consideration set for staffing from four alternatives to two.

Availability

Three issues shape the availability criterion: (1) whether qualifying individuals exist in the workforce (*availability in the labor force*), (2) the frequency with which an individual can be employed (*availability for duty*), and (3) the number of workers from that component required to sustain operational coverage.

Availability in the Labor Force

Availability in the labor force is discussed in two parts: external hiring to fill specific job requirements, and internal hiring to staff permanent jobs and special operations.

External Hiring

The probability that an individual will seek employment with the Coast Guard – in any of the four components – is often dependent on how interested the person may be in the type of occupations offered. If the Coast Guard wants to fill a job requirement with an external hire, then it is important to learn what drives or discourages various demographic groups from seeking to affiliate with the Service. With a better understanding of external demographics, the Coast Guard can consider questions such as: how should recruiting efforts be targeted to attract a diverse workforce of qualified workers; what compensation and incentive practices can be used to encourage affiliation with the Coast Guard; and what psychic income do people derive from Coast Guard service that they receive regardless of the level of dollar wages.

One approach to addressing these questions is to benchmark Coast Guard occupations with trends in the civilian sector. The Office of Occupational Employment Statistics (OES) at the Bureau of Labor Statistics suggests a two step process in which an analyst would: (1) identify the largest employers in a metropolitan statistical area using Standard Occupational Classification system codes, and then (2) obtain OES data for that industry and metropolitan statistical area. This approach, however, seems neither feasible or reliable since the local OES data would probably still be too aggregated to assist in the Coast Guard staffing decision. More reliable, though less consistent across Coast Guard districts, would be an approach in which the FOT would partner with human resource managers, academic institutions, and professional societies that collect – or that could be contracted to collect – these data.

²³⁷ _____, (U.S. Coast Guard), “Criteria for Staffing Decisions,” *Report to Congress on Civilians in Personnel Management Structure*, September 7, 1997. Cited via the Internet at <http://www.dot.gov/dotinfo/uscg/hq/reserve/cngindex.htm>.

In general, *availability* of qualified labor poses a special challenge for the Coast Guard, especially when the capabilities required are in scarcity in the market. Consider the teen population, the primary recruiting base for the military. The Coast Guard competes with colleges, private sector employers, and the other armed services to recruit high school graduates for the enlisted force and college graduates for the officer corps. These findings compiled by the Department of Education may be relevant in helping to address current shortfalls in military recruitment. Selected findings are introduced, and are²³⁸

- *Drug Use*. In 1994, 15.5 percent of children 12 to 17 years old reported that they used illicit drugs within one year of responding to the Department of Health and Human Services' "National Survey on Drug Abuse." Repeated drug use is a disqualifying factor for military accession.
- *Career Ambition*. In the period 1988 to 1995, approximately 60 percent of high school graduates attended college in the year following graduation. In 1995, 62.6 percent of whites enrolled, and 51.4 percent of blacks enrolled. Thus, in 1995, the Coast Guard competed with civilian employers and the other armed services to enlist qualified candidates from among the remaining 37.4 percent.
- *Career Interests*. In 1992, twelfth grade participants in the "National Education Longitudinal Study of 1988" were asked to state what occupation in which they expected to work when they reach age 30. Where 68.5 percent expected to work in white collar occupations (i.e., 50.8% professional, business or managerial occupations; 7.5% teachers; 5.4% technical; and 4.8% sales), only 6.6 percent expected to work as a military, police, or security officer. Thus, in order to attract qualified candidates, the Coast Guard offers incentives to teens who are willing to forego civilian sector opportunities now in order to enhance their employability later.

Public sector employment runs in cycles, with military recruitment and civilian hiring at maximum capacity during periods of recession, and below capacity during periods of full employment. To fill vacancies, the human resource establishment should consider what job characteristics will appeal to desirable candidates. For example, the Coast Guard Recruiting Program is currently studying ways to market military service to young adults who are otherwise attracted by other college and private sector employment opportunities. Currently, the Coast Guard is under its targeted end strength in the active, Reserve, and civilian components.

One tool that may be useful in the Coast Guard's research may be the use of the Department of Labor *Guide for Occupational Exploration (GOE)*. Designed by the U.S. Employment Service, GOE codes were assist guidance counselors in matching an individual's interests with complementary career fields. GOE codes are comprised of six-digit numbers that describe individual *interest areas* (i.e., artistic, scientific, plants and animals, etc.), *work groups* within each interest area, and *subgroups* describing relevant interests, aptitudes, and adaptability requirements of specific occupations. While the use of such a tool is most effectively employed at a Headquarters level, FOTs should be sensitive to efforts to attract and retain good workers to any one of the four workforce components.

Internal Hiring

The Coast Guard has a number of resources it can leverage to satisfy its labor demand. It can issue orders to an active component member to move across the country from one duty station to another. It can offer qualified civilians an opportunity to transfer between local commands, or to transfer to another region. While the Service has limited flexibility on where it can compel a reservist to drill (i.e., within a reasonable commuting distance of the member's residence - see footnote 84, pp. 73), it can temporarily place a reservist on voluntary active duty – just as the private sector hires "temp" workers – and it can call the reservist to involuntary active duty to respond to a national emergency or domestic emergency. Auxiliarists, by definition, are available to support the Coast Guard in "any Coast Guard function, power, duty, role, mission, or operation authorized by law."²³⁹

²³⁸ _____, (U.S. Department of Education). National Center for Education Statistics. *Digest of Education Statistics 1996*, NCES 96-133, tables 138, 142, 146, and 179.

²³⁹ 14 U.S.C. 822.

The value of psychic income – the intangible benefits that members of the Coast Guard workforce receive – cannot be overstated. To improve the effectiveness with which the Service uses human resources, the human resource establishment of the Coast Guard should consider the demographics and preferences of the four components in the same way that was described above for the external labor market.

Availability for Duty

In the absence of reliable measurement systems, *availability for duty* can be estimated by using data listed in the *Staffing Standards Manual*, COMDTINST M5312.11A. Though based on processes and planning assumptions that pre-date the political change and budget upheavals of the 1990s, these availability estimates will be sufficient in prioritizing staffing alternatives. Table 30 estimates the work time availability of the active and civilian components after subtracting for time spent on training, holidays, leave days, and sick days. An estimate of Reserve component availability is described in Table 31. No data were available to estimate Auxiliary work availability.

The *availability for duty* criterion should also include the number of people from the component required to sustain the function. Estimates for staff coverage are also provided in the *Staffing Standards Manual*.

Table 30 - Active Component and Civilian Work Availability

	Servicewide Average	
	Hours/Week	Hours/Year
1. Military Workweeks Ashore		
a. Watchstanders		
68 Hour Workweek (1 in 4)	39.24	2047.50
8 Hour Continuous Watch	37.71	1967.71
12 Hour Continuous Watch	37.71	1967.71
b. Nonwatchstanders		
68 Hour Workweek (1 in 4)	39.24	2047.50
5 day Regular Workweek	33.31	1738.12
2. Military Workweeks Afloat		
a. Watchstanders		
68 Hour Workweek (1 in 4 -Inport)	36.49	*
81 Hour Workweek (1 in 3 - Underway)	67.00	*
b. Nonwatchstanders		
68 Hour Workweek (1 in 4 -Inport)	36.49	*
5 day Regular Workweek(Inport)	30.79	*
Underway Workweek	67.00	*
3. Civilian Availability Time.		
5 day Regular Workweek	32.87	1715.10
72 Hour Firefighters Workweek	64.43	3361.96

* Annual total varies by the proportion of time spent in port.

Source: *Staffing Standards Manual, COMDTINST M5312.11A, Figure 1-1.*

Table 31 - Estimating Peacetime Reserve Work Availability at Ashore Units

Step 1. Estimate hours of duty per year.			
<div> <p>Source: <i>Staffing Standards Manual</i>, COMDTINST M5312.11A.</p> <p>Avg. Active Component weekly availability derived from Figure 1-14 of <i>Staffing Standards</i>.</p> </div>		Reserve IDT & ADT-AT	
		Estimated average drills per year	44.00
		x IDT drill period at 4 hours each	<u>4.00</u>
		IDT duty hours per year	176.00
		ADT-AT at 12.5 days per year	12.50
		x 8 hours per work day	<u>8.00</u>
		ADT-AT duty hours per year	100.00
		Estimated Hours of IDT & ADT-AT per year	276.00
		Estimated Reserve Duty Hours per week	5.31
Step 2. Subtract expected absences.			
Active Component		Reserve Component	
Hours per week	40.00	Hours per week	5.31
Leave hours per week	-2.69	Leave hours per week	0.00
Holiday hours per week	-1.53	Holiday hours per week	0.00
Training hours per week	-1.47	Training hours per week (3.68% hrs per week= 1.47/40.00)	-0.20
- Service diversions per week	<u>-1.00</u>	-Service diversions per week (2.5% hrs per week=1.00/40.00)	<u>-0.13</u>
Avg. Active Component weekly availability (hours)	33.31	Avg. Reserve Component weekly availability (hours)	4.98

Cost

Labor economist Edward Lazear once wrote that:

Cheap labor is not necessarily low-cost labor. High-productivity labor is not necessarily the most profitable labor. *The choice of labor inputs is determined by the ratio of cost to output* (emphasis added).²⁴⁰

While the Coast Guard has worked throughout the 1990s to develop measures of organizational effectiveness (i.e., *output measures* and *outcome measures*), measurement systems are either still in development or are too new to produce reliable information. Therefore, in the absence of good output measures, this analysis assumes that output is constant across all workforce components, and allows labor effectiveness to vary by expected work hours and dollar cost. There are two reasons for making this assumption.

First, it allows us to compare annual labor costs using a common measure of time: expected work hours per year. Expected work hour values are derived from official Coast Guard staffing standards.²⁴¹

Second, the Coast Guard programming and budget process allocates resources based on *standard personnel costs* (SPCs). In other words, SPCs are the standard terms of reference for submitting resource requests to the Coast Guard's "Strategic Planning, Long-Term Planning, Programming, Budgeting, Execution and Evaluation System. *SPCs estimate the costs associated with the addition or deletion of civilian positions and military billets through the budgetary process.*"²⁴² SPCs fall into one of three categories.

- *Personnel Salary Costs*. This category includes military salaries (AFC-01) (e.g., estimates for basic pay, allowances, FICA, reenlistment bonuses, severance pay, separation allowance, uniform clothing allowance, and death gratuities). This category also includes civilian salaries (AFC-08) (e.g., employee salaries, overtime, awards, retirement, group life insurance, health benefits, unemployment compensation, and FICA).
- *Headquarters Managed Personnel Support Costs*. This category includes the transportation and shipment of household goods (AFC-20); personal property damage claims, long distance telephone usage, recruiting expenses, Coast Guard Standard Workstation, hardware, software and maintenance, start-up costs (furniture and fixtures), and contract dining facilities (AFC-30); training (AFC-56); and medical care (AFC-57).
- *Field Managed Personnel Support Costs*. This category includes local telephone services, recreation, housekeeping, routine administrative travel (does not include funding for program travel requirements), transportation and routine office equipment.

SPCs provide a reasonable estimate of what the Coast Guard spends to develop, compensate, and support its people. They are especially useful in planning and managing budgets, particularly at the highest levels of program management. However, SPCs are highly aggregated and are inappropriate for analysis that requires precise measures of cost.

²⁴⁰ Lazear, Edward P., *Personnel Economics for Managers*, pp. 19.

²⁴¹ _____, (U.S. Coast Guard). *Staffing Standards Manual*, COMDTINST M5312.11A, Figures 1-1 to 1-12.

²⁴² _____, (U.S. Coast Guard). *Financial Resource Management Manual*, COMDTINST M7100.3A, para. 4.G.1.

SPCs are used in the proposed decision support model because they form a reasonable approximation of actual labor costs. SPC rates for the latter part of FY97 are enclosed as Appendix IV, and include the following information.

- Annual Rates. Appendix IV uses SPCs published in May 1997 for active and civilian component personnel costs. These rates include estimates for pay and allowances (P&A Costs), permanent change of station transportation costs (AFC20), operations and maintenance costs (AFC30), personnel training (AFC56), and medical costs (AFC57).

“Availability hours,” the expected value of work hours per year after subtracting for absences such as holidays, are also included. Availability hours for the active and civilian components were obtained directly from the *Staffing Standards Manual*.

- Estimated Hourly Rates. Appendix IV breaks SPCs down into standard personnel costs per available work hour. These estimated hourly rates were derived by dividing each annual SPC category by annual availability hours; the quotients were then summed to obtain an average hourly cost of available labor.
- Reserve SPCs. Annual SPCs for drilling reservists were estimated by multiplying non-pay related personnel costs by $1/10^{\text{th}}$ (assuming that each reservist performs a combined 36.5 days of inactive and active duty during a 365-day fiscal year).

Annual pay costs were obtained by (1) obtaining an average IDT drill pay rate for each grade, and (2) adding an average rate of pay for ADT-AT (based on the comparable active duty P&A cost, and converted to a daily rate).

Estimated hourly rates were calculated in the same way as the active and civilian components, using the estimate of annual availability provided above in Table 31.

- Auxiliary SPCs. Standard personnel cost data were not available.

Proposed Model

This section proposes the use of a value model to assist FOTs in the staffing decision. A sample value model is attached as Appendix V. The ideas discussed in this section are based on the work of Craig Kirkwood in his book *Strategic Decision Making: Multi-Objective Decision Analysis with Spreadsheets*. The goal of value models such as Appendix V is to help managers identify a preferred choice from a series of alternatives.

Base Case: Rate and Weight the Decision Criteria

The FOT should start by obtaining data on the mission to be performed, the type of skills sought, and a sense of the command's priorities with regard to filling the vacancy. During this initial stage, the FOT works with the command representatives to define the individual attributes that relate to each of the three decision criteria, and to assign weighted values to each criterion and attribute. Structured interview questions, a survey instrument or questionnaire could assist in obtaining the data, and in ensuring consistency of client input.

Such a survey instrument identify the requesting command, the mission, the effective dates, and location. In an area devoted to a detailed description of the skills required, a series of yes/no answer blocks and short text fields would summarize the command's performance needs. The instrument would be completed by FOT consulting staff after adequately interviewing key members of the requesting command. Appendix V provides a prototype survey instrument.

The rating scales used to score each attribute can be quantitative or qualitative in nature, though it is likely that qualitative measures will predominate. Regardless of how the measures are expressed, the scoring process must be applied uniformly across all four workforce components. These attribute scores are normalized in order to identify where each alternative falls in relation to the other three choices. (Kirkwood recommends the use of a "single dimensional value function" that evaluates attribute scores for their returns to scale).²⁴³

Different types of missions imply a different set of priorities. A long term unit staffing effort may require more emphasis on the importance of *cost* attributes, while a short duration contingency (e.g., safety and security support of a high visibility waterfront event where a physical threat to participants is high) may demand more emphasis on the capability of the Coast Guard forces employed. To reflect this degree of importance, each attribute is assigned a weight in the range of 0 to 1, with the sum of the weights totaling 1. These weights were obtained from the client command during the FOT's initial gathering of data. For example, on the cover page of Appendix V, in the blank marked "Command-determined weighting scheme," the command has determined that *cost* is half as important as either *capability* or *availability* (e.g., *cost* weight = $\frac{1}{2}$ *capability* or $\frac{1}{2}$ *availability*).

The results of the analysis are thus combined into a value function in the form:

$$v(\text{Capability}, \text{Availability}, \text{Cost}) = w_1 * v_1(\text{Capability}) + w_2 * v_2(\text{Availability}) + w_3 * v_3(\text{Cost})$$

where w_1, w_2, w_3 , are the weights assigned to each of the normalized scores, and $v_1(\text{Capability})$, $v_2(\text{Availability})$, and $v_3(\text{Cost})$ are the single dimensional value functions imposed over each evaluation measure. The resulting values from this analysis provide a final set of values from which each alternative can be ranked. For example, see the box marked "Base Case Weighted Scores" on the second page of Appendix V.

²⁴³ Kirkwood, Craig, *Strategic Decision Making*, pp. 60.

Sensitivity Analysis

A sensitivity analysis follows in which the level of importance for one criterion is varied across a range of weighting values. This process can be more significant than the ranking of the alternatives because it allows the FOT and the unit commander a chance to challenge basic assumptions about the relative importance of the three decision criteria categories. It can also help identify indifference points where the value of one alternative first exceeds the value of the next best alternative.

For example, review the graph of the Sensitivity Analysis in Appendix V. It the desirability of each workforce alternative when emphasis on *cost* was allowed to change while holding *capability* and *availability* constant. When *cost* was a relatively unimportant consideration (i.e., when the importance of cost made up 0 percent of the command's decision), the most desirable alternative was an active duty coxswain. However, when cost claimed a larger share of the decision (i.e., for cost weights between 15 and 25 percent), the use of a Reserve coxswain was rated the best alternative. For all cases where cost was weighted more heavily than 25 percent, the use of an Auxiliary coxswain was the clear favorite.

Note that the civilian alternative would never be desired—there are presently no civilian coxswains in the Coast Guard. However, the civilian alternative is included in this analysis for two reasons.

First, a major public event at which dignitaries are present will increase resource scarcity (the demand for resources will tend to spike). As Coast Guard members are assigned tasks in way that maximizes their value to the mission (e.g., coxswain assignments to safety zone enforcement), their re-deployment introduces a staffing vacancy elsewhere within the command. The unit commander can either accept the vacancy – meaning that there is an unsatisfied demand for labor – or can seek another staffing alternative. As more resources are redirected to higher priority functions, the unit commander must reallocate work and workers to sustain operations.

Second, this example indicates a 36-month lapse between the time that the solicitation for coxswains is announced and the time that a civilian coxswain could be assigned. While human resources are mostly fixed in the short run, they are variable over time. In other words: the shorter the planning horizon, the more limited are the staffing alternatives; the longer the planning horizon, the more flexibility there is in reallocating resources. Theoretically, the unit commander could submit a request to reprogram a military billet into a civilian position with the job title “coxswain.” As has been discussed, this process on average takes three years (36 months).

Summary

This chapter proposed a consensus-based value model that allows a client command to select a “best” staffing option based on known capabilities, availability, and cost. A prototype of the model is illustrated as Appendix V. The quality of decisions derived with the help of the value model will improve as quantitative data are incorporated. However, the purpose of the value model is not mathematical precision, but the selection of a best alternative from a complex array of data, probabilities, and preferences. Judgments that are qualitative, reasonable, and deliberate in nature – judgments made in the absence of empirical data – can still assist the unit commander in making well-informed staffing decisions. The model allows this to happen by applying a consistent framework for the analysis.

Several challenges lie ahead for the Coast Guard if it chooses to more closely integrate its four workforce components. An important first step would be a cross-referencing of performance requirements. Such a reference would allow human resource managers in FOT to more accurately compare military and civilian occupations. Chapter 7, “Conclusions” suggests several next steps that will assist in creating a more integrative approach to the optimized staffing decision.

Chapter 7.

Conclusion

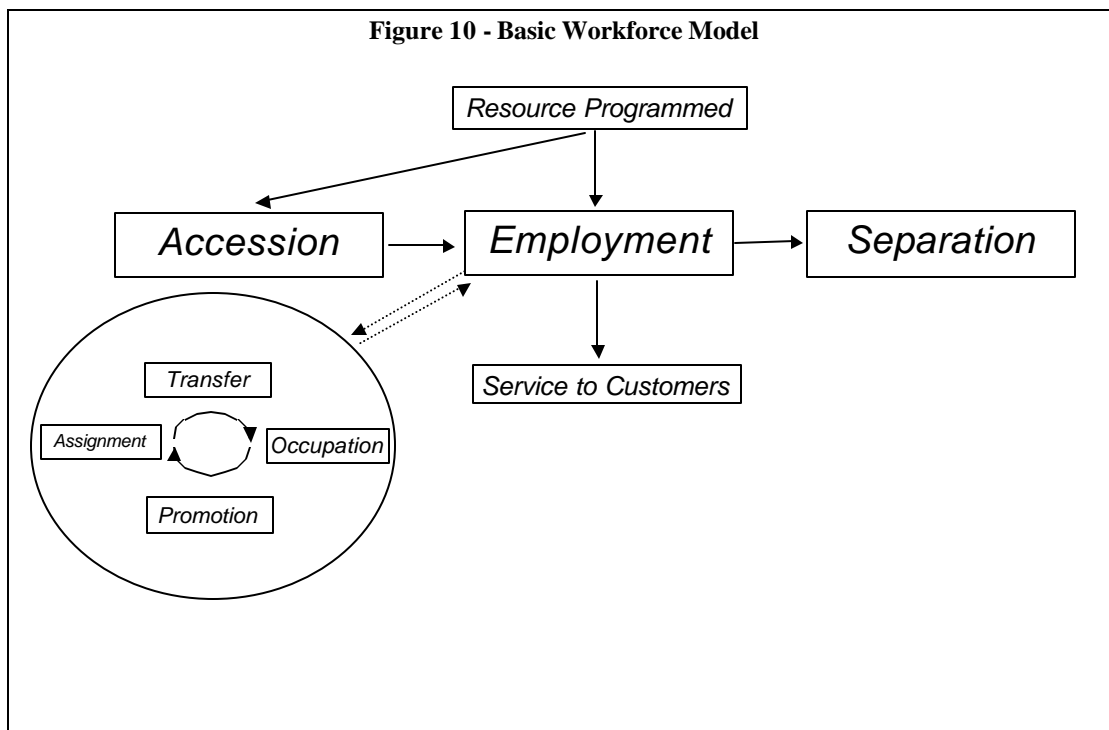
Review

The Coast Guard hopes to sustain a high level of service to the public even as it contemplates renewed downsizing. The General Accounting Office warns that the gap between funding *needed* and the funding *available* to sustain service to the public will widen in the next few years, growing to \$493 million by 2002. Few budget savings are likely to be found in discretionary items that were already the target of cost reduction efforts in the mid-1990s. It is unlikely that the workforce, which consumed 42 percent of the Coast Guard's budget in 1997, will be spared in the coming years if GAO's budget forecasts hold. As the physical plant of the Coast Guard ages, opportunities to modernize or replace existing capital will be limited. The Coast Guard must draw on the strengths of its total workforce to sustain its mission performance, whether needed capital and technology improvements are available or not.

The Need to Focus on Staffing

An integrated approach to human resource management is needed. The goal of this paper was to do just that: to propose a decision support model that optimizes the staffing decision by employing all four components of "Team Coast Guard."

This paper laid the foundation for the decision model by profiling the four components. A workforce flow model was introduced in Chapter 1 to profile each workforce component using a common set of terms. The model is repeated below as Figure 10. The model compared the human resource processes of each component in six areas: *accession*, *occupation*, *promotion*, *assignment*, *transfer*, and *separation*. *Occupation*, *promotion*, *assignment*, and *transfer* as a whole are a subset of employment.



Profiling the Four Components

An understanding of the workflow process model (Figure 10) is critical in determining how to value the contributions of each component. The active component, for example, is the core of the Service; it is best positioned to sustain Coast Guard operations worldwide on a continuous basis. The Reserve component allows the Coast Guard to “surge” the size and capability of its workforce. Its use as a “temporary” resource enhances the Coast Guard’s ability to respond to contingencies; its use as a part time workforce enables the Coast Guard to bridge shortfalls in full time staffing. The civilian component provides capabilities that are either too specialized or too general to be sustained in an effective manner by the military components. The Auxiliary component offers an extremely cost effective means to support a variety of Coast Guard operations, and provides an excellent public outreach capability for the Coast Guard.

Decision Support Model

The paper proposes a decision support model to optimize the staffing decision. The model was intended for use by the ten Force Optimization and Training Branches (FOTs) when advising their client commands. This consultative role aligns with the role assigned by the then-Chief of Staff in 1995 to

balance the need for integrating processes, cross mission and workforce optimization, and Reserve program management...to examine the use of the district’s total workforce (i.e., active, civilian, reserve, and auxiliary)...to maximize personnel resources and training opportunities...(and) to evolve to a broader district planning view in the future.²⁴⁴

The decision model views optimized staffing as the selection of a “best” option from among four alternatives – i.e., active, Reserve, civilian, or Auxiliary component staffing. The model determines the best human resource fit or each job vacancy by guiding the FOT and the unit commander through the following steps.

- Identifying and Rating Alternatives. The model relies on the use of a *value function* in which each alternative is rated for its ability to satisfy desired needs or “attributes.” These attributes are grouped into three decision criteria/categories: *capability*, *availability*, and *cost*.
- Decision Criteria: Importance Weights. The model allows the unit commander to determine how much influence each of these criteria will have in the ultimate staffing decision. The model does this by asking the commander to place an importance weight on each of the decision criteria. These weights are then applied to derive a “base case” ranking of alternatives.
- Sensitivity Analysis. Sensitivity analysis allows the commander to vary one criterion’s weight while holding the other two criteria weights constant (e.g., Appendix V allowed *cost* to vary in importance from 0 percent of the decision to 100 percent). As each criterion is allowed to vary in importance relative to the other two, the analysis reveals a series of indifference points after which the rankings of each alternatives may shift. This step allows the commander to consider the conditions that must hold in order for lower ranked alternatives become the preferred choice.

²⁴⁴ _____, (U.S. Coast Guard), *Integration of District Readiness and Reserve Division Functions into Other Staff Elements*, COMDTINST 5400.21, para. 5.a.(4).

Future Research

New directions in strategy, research, and policy are suggested throughout this paper. (For example, Chapter 6 recommended that the Coast Guard measure the intangible benefits or “psychic income” received from affiliation with the Coast Guard). While many of these considerations can be addressed over the long term, several steps should be initiated up front if the Coast Guard were to implement a decision model similar to the one proposed in this paper.

Re-Validate the Role of the FOT

This paper began with the assumption that the Coast Guard wants the FOT to serve as the focal point for field-level human resource management. This may not be the case. Though calling for the integrated management of “the district’s total workforce,” FOTs manage the non-training related workforce issues of only one component (the Coast Guard Reserve). Anecdotal information suggests that FOTs may lack the tools and the staffing to conduct the consultative work envisioned by the Chief of Staff in 1995.

If concerns about these staff resource constraints are valid, then the solution may lie in re-validating the role of the FOT, and then providing the billeting and funding necessary to sustain them.

Validate the Component Profiles

The component profiles (Chapters 2-5) were compiled from sources available on the Worldwide Web, Coast Guard publications available at federal depository libraries, and from directives published on *U.S. Coast Guard Directives System CD-ROM*, version 2.31. Developments in evolving workforce issues may thus have been overlooked. Examples include the Workforce Cultural Audit, enlisted rating review currently underway, and efforts aimed at improving personnel management in all four workforce components. In addition, by consolidating a large volume of information into a relatively small document, the profiles may overlook or mischaracterize characteristics some aspects of each component. Therefore, the use of these profiles should be limited until a review by the respective human resource program managers validates their accuracy.

Validate the Decision Model and Obtain Component Data

This paper makes the case that three considerations drive the effectiveness of staffing decisions: *capability*, *availability*, and *cost*. In order to actually implement the proposed decision model, program managers would have to validate this or amended this set of criteria. Program managers would also be best positioned to provide relevant cost and performance data.

Appendix I - The Coast Guard Appropriations Process & Budget Cycle

This appendix consists of three parts: a listing of the appropriations of the U.S. Coast Guard; a schematic of the annual budget cycle; and a timeline summarizing the resource programming process (from initial request to “delivery”).

Appropriations of the U.S. Coast Guard

Source: *Financial Resources Management Manual*, COMDTINST M7100.3A, Chapter 2.

1. Regular Appropriations - appropriations from which the Coast Guard operates operating and support programs.

Operating Expenses

- AFC01 - Active Duty Military Pay
- AFC08 - Civilian Pay
- AFC20 - Permanent Change of Station Transportation (i.e., move costs related to military transfer)
- AFC30 - Operations and Maintenance
- AFC40 - Chief of Staff Administrative Fund
- AFC41 - Aeronautical Engineering
- AFC42 - Telecommunications
- AFC43 - Civil Engineering
- AFC44 - Logistics and Supply
- AFC45 - Naval Engineering
- AFC54 - Ordnance
- AFC56 - Training
- AFC57 - Medical
- AFC80 - Reimbursables
- AFC88 - Reimbursables Special Purpose Account (CERCLA)

Reserve Training

- AFC90 - Reserve Training Program Expense
- AFC94 - Reserve Reimbursable
- AFC97 - Reserve Refund Program
- AFC98 - Reserve Civilian Pay

Acquisition, Construction, and Improvements

Research, Development, Test and Evaluation

Environmental Compliance and Restoration

Alteration of Bridges

Retired Pay

Oil Spill Liability Trust Fund

Boating Safety

2. Revolving Funds - authorized by specific provisions of law as "self-financing" operations. Funds are obtained by charging internal Coast Guard "customers" for services or materials furnished. The income from such operations is available in its entirety for meeting authorized expenses. Once capitalized, annual appropriations are not normally made for these funds, although occasionally an appropriation may be made to increase its total capital structure.

Coast Guard Supply Fund

Coast Guard Yard Fund

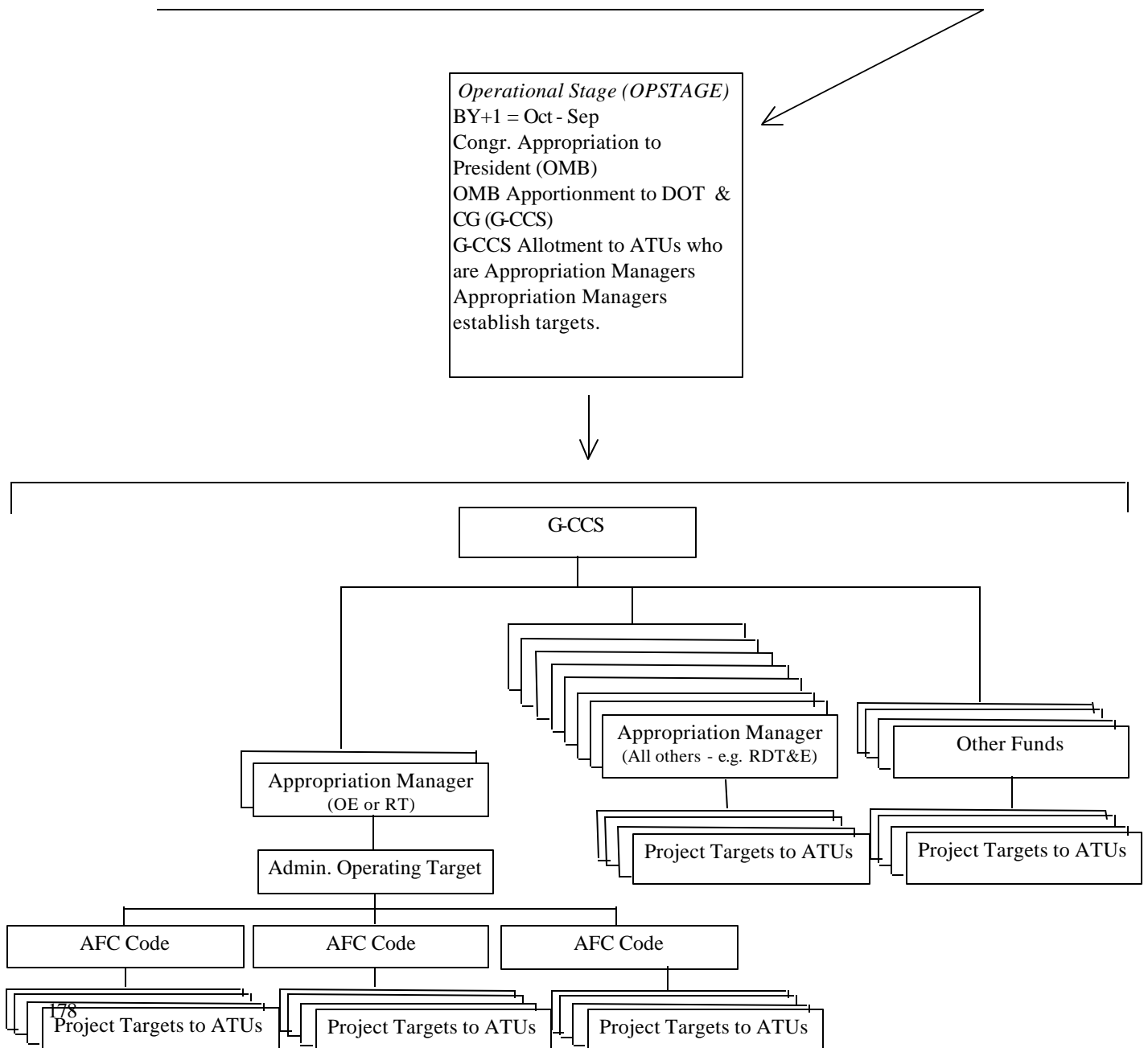
3. Non-Appropriated Funds - authority for the Coast Guard to establish and use non-appropriated funds is authorized by law. Non-appropriated funds are typically used for morale and recreation programs and by the Coast Guard Exchange System. Policies and procedures governing non-appropriated funds can be found in the *Morale, Welfare and Recreation Manual*, COMDTINST 1710.13 (series) and *Non-Appropriated Funds Activity Manual (NAFA)*, COMDTINST M7010.5 (series) respectively.
4. Other Funds - includes reimbursables, trust revolving funds, and imprest funds.

Budget Cycle

Source: *Financial Resources Management Manual*, COMDTINST M7100.3A, Chapter 4

Time defined in Budget Years (BY)

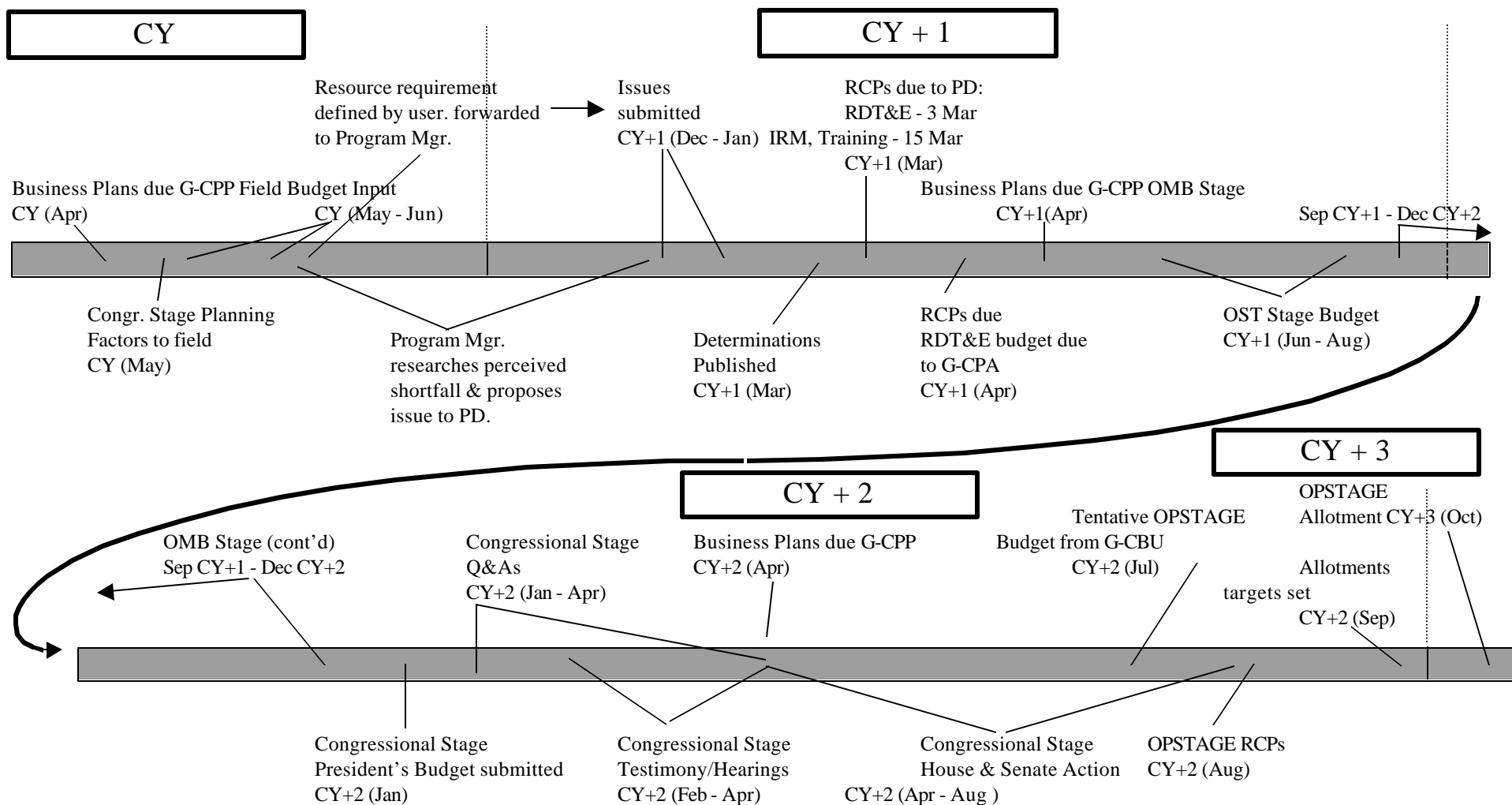
<p><i>Forecast Stage</i> -21-15 mos (Jan - Jul BY-1) General Forecast To OST: 1 Jul, BY-1</p>	<p><i>OST Stage</i> -15-13 mos (Jun - Aug BY-1) SECDEF allowances re: FTP, FTE, etc. To OMB: 1 Sep, BY-1</p>	<p><i>OMB Stage</i> -13-10 mos (Sep BY-1 - Dec BY) OMB allowances early Dec To Congress: 1 Jan BY</p>	<p><i>Congressional Stage</i> -9 mos (Jan BY) Q&A: Jan - Apr BY Strength Authorization Enactment: Jul-Sep BY</p>
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Programming Resources - Initial Request through Delivery

Sources: *Financial Resources Management Manual*, COMDTINST M7100.3A and
Planning & Programming Manual, Vol. 1 (Headquarters Manual), COMDTINST M16010.1B

CY - Current year – a baseline used to describe the timeline from initial request for resources to delivery.



Appendix II - United States Coast Guard Vacancy Announcement

Deleted from the on-line version of this paper.

Appendix III - General Schedule Pay Rates for Localities Not Otherwise Specified - Effective 1997

	Step									
GS	1	2	3	4	5	6	7	8	9	10
1	\$13,570	\$14,022	\$14,473	\$14,923	\$15,376	\$15,640	\$16,085	\$16,533	\$16,553	\$16,971
2	\$15,256	\$15,620	\$16,125	\$16,553	\$16,739	\$17,232	\$17,725	\$18,217	\$18,710	\$19,203
3	\$16,647	\$17,202	\$17,757	\$18,312	\$18,866	\$19,421	\$19,976	\$20,531	\$21,086	\$21,641
4	\$18,687	\$19,311	\$19,934	\$20,558	\$21,181	\$21,804	\$22,428	\$23,051	\$23,675	\$24,298
5	\$20,908	\$21,605	\$22,302	\$23,000	\$23,697	\$24,394	\$25,092	\$25,789	\$26,486	\$27,183
6	\$23,305	\$24,082	\$24,858	\$25,635	\$26,411	\$27,188	\$27,964	\$28,741	\$29,517	\$30,294
7	\$25,897	\$26,760	\$27,624	\$28,487	\$29,350	\$30,214	\$31,077	\$31,940	\$32,804	\$33,667
8	\$28,681	\$29,637	\$30,594	\$31,550	\$32,507	\$33,463	\$34,420	\$35,376	\$36,333	\$37,289
9	\$31,680	\$32,736	\$33,792	\$34,848	\$35,904	\$36,960	\$38,017	\$39,073	\$40,129	\$41,185
10	\$34,887	\$36,050	\$37,213	\$38,376	\$39,540	\$40,703	\$41,866	\$43,029	\$44,193	\$45,356
11	\$38,330	\$39,608	\$40,886	\$42,164	\$43,442	\$44,719	\$45,997	\$47,275	\$48,553	\$49,831
12	\$45,939	\$47,471	\$49,003	\$50,534	\$52,066	\$53,598	\$55,130	\$56,661	\$58,193	\$59,725
13	\$54,629	\$56,450	\$58,271	\$60,092	\$61,913	\$63,734	\$65,555	\$67,375	\$69,196	\$71,017
14	\$64,555	\$66,707	\$68,859	\$71,011	\$73,163	\$75,314	\$77,466	\$79,618	\$81,770	\$83,922
15	\$75,935	\$78,466	\$80,997	\$83,528	\$86,059	\$88,590	\$91,121	\$93,652	\$96,183	\$98,714

Appendix IV - Comparison of SPCs for Active, Reserve, and Civilian Components

Category Codes: A = Active C = Civilian R = Reserve

Pay Grade Cat:

Active & Reserve:

O = Officer

W=Warrant Officer

E=Enlisted

Civilian:

GS = General Schedule

WG = Wage Grade

ES = Senior Executive Service

"Availability hours" were derived from the Staffing Standards Manual, and assume -- for purposes of drawing comparisons -- a 5-day regular workweek for the Active and Civilian components. Reserve availability is derived from active component availability, assuming 42 IDT drills per year.

Category	Pay Grade Cat	Pay Grade Level	ANNUAL RATES						Estimated Hourly Rates					
			P&A Costs	AFC20	AFC30	AFC56	AFC57	Availability Hours	P&A Costs	AFC20	AFC30	AFC56	AFC57	Avg. Hourly Cost
A	O	10	\$ 114,965	\$ 8,796	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 66.14	\$ 5.06	\$ 2.11	\$ 1.30	\$ 1.77	\$ 76.39
A	O	9	\$ 114,965	\$ 8,796	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 66.14	\$ 5.06	\$ 2.11	\$ 1.30	\$ 1.77	\$ 76.39
A	O	8	\$ 114,965	\$ 8,796	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 66.14	\$ 5.06	\$ 2.11	\$ 1.30	\$ 1.77	\$ 76.39
A	O	7	\$ 101,046	\$ 8,796	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 58.14	\$ 5.06	\$ 2.11	\$ 1.30	\$ 1.77	\$ 68.38
A	O	6	\$ 93,899	\$ 8,796	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 54.02	\$ 5.06	\$ 2.11	\$ 1.30	\$ 1.77	\$ 64.27
A	O	5	\$ 80,393	\$ 9,351	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 46.25	\$ 5.38	\$ 2.11	\$ 1.30	\$ 1.77	\$ 56.82
A	O	4	\$ 68,191	\$ 10,109	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 39.23	\$ 5.82	\$ 2.11	\$ 1.30	\$ 1.77	\$ 50.23
A	O	3	\$ 58,829	\$ 8,122	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 33.85	\$ 4.67	\$ 2.11	\$ 1.30	\$ 1.77	\$ 43.70
A	O	2	\$ 45,973	\$ 4,838	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 26.45	\$ 2.78	\$ 2.11	\$ 1.30	\$ 1.77	\$ 34.42
A	O	1	\$ 34,659	\$ 2,455	\$ 3,669	\$ 2,258	\$ 3,084	\$ 1,738.12	\$ 19.94	\$ 1.41	\$ 2.11	\$ 1.30	\$ 1.77	\$ 26.54
A	W	4	\$ 64,167	\$ 7,921	\$ 3,669	\$ 1,509	\$ 3,084	\$ 1,738.12	\$ 36.92	\$ 4.56	\$ 2.11	\$ 0.87	\$ 1.77	\$ 46.23
A	W	3	\$ 53,109	\$ 7,921	\$ 3,669	\$ 1,509	\$ 3,084	\$ 1,738.12	\$ 30.56	\$ 4.56	\$ 2.11	\$ 0.87	\$ 1.77	\$ 39.87
A	W	2	\$ 47,867	\$ 7,921	\$ 3,669	\$ 1,509	\$ 3,084	\$ 1,738.12	\$ 27.54	\$ 4.56	\$ 2.11	\$ 0.87	\$ 1.77	\$ 36.85
A	E	10	\$ 66,633	\$ 7,865	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 38.34	\$ 4.53	\$ 2.00	\$ 0.59	\$ 1.77	\$ 47.23
A	E	9	\$ 57,298	\$ 7,865	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 32.97	\$ 4.53	\$ 2.00	\$ 0.59	\$ 1.77	\$ 41.86
A	E	8	\$ 48,523	\$ 6,754	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 27.92	\$ 3.89	\$ 2.00	\$ 0.59	\$ 1.77	\$ 36.17
A	E	7	\$ 42,448	\$ 6,596	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 24.42	\$ 3.79	\$ 2.00	\$ 0.59	\$ 1.77	\$ 32.59
A	E	6	\$ 36,868	\$ 6,515	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 21.21	\$ 3.75	\$ 2.00	\$ 0.59	\$ 1.77	\$ 29.33

			ANNUAL RATES						Estimated Hourly Rates					
Category	Pay Grade Cat	Pay Grade Level	P&A Costs	AFC20	AFC30	AFC56	AFC57	Availability Hours	P&A Costs	AFC20	AFC30	AFC56	AFC57	Avg. Hourly Cost
A	E	5	\$ 31,631	\$ 5,336	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 18.20	\$ 3.07	\$ 2.00	\$ 0.59	\$ 1.77	\$ 25.64
A	E	4	\$ 26,794	\$ 3,580	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 15.42	\$ 2.06	\$ 2.00	\$ 0.59	\$ 1.77	\$ 21.84
A	E	3	\$ 22,073	\$ 2,563	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 12.70	\$ 1.47	\$ 2.00	\$ 0.59	\$ 1.77	\$ 18.54
A	E	2	\$ 19,001	\$ 1,574	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 10.93	\$ 0.91	\$ 2.00	\$ 0.59	\$ 1.77	\$ 16.21
A	E	1	\$ 25,275	\$ -	\$ 3,483	\$ 1,026	\$ 3,084	\$ 1,738.12	\$ 14.54	\$ -	\$ 2.00	\$ 0.59	\$ 1.77	\$ 18.91
C	GS	15	\$ 104,500	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 60.93	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 65.15
C	GS	14	\$ 91,600	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 53.41	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 57.63
C	GS	13	\$ 76,800	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 44.78	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 49.00
C	GS	12	\$ 65,800	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 38.37	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 42.58
C	GS	11	\$ 54,800	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 31.95	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 36.17
C	GS	10	\$ 52,900	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 30.84	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 35.06
C	GS	9	\$ 45,400	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 26.47	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 30.69
C	GS	8	\$ 42,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 24.49	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 28.71
C	GS	7	\$ 38,900	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 22.68	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 26.90
C	GS	6	\$ 35,600	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 20.76	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 24.98
C	GS	5	\$ 32,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 18.66	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 22.88
C	GS	4	\$ 30,100	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 17.55	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 21.77
C	GS	3	\$ 28,600	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 16.68	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 20.89
C	WG	19	\$ 87,300	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 50.90	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 55.12
C	WG	18	\$ 83,100	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 48.45	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 52.67
C	WG	17	\$ 78,700	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 45.89	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 50.11
C	WG	16	\$ 74,300	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 43.32	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 47.54
C	WG	15	\$ 69,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 40.23	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 44.45
C	WG	14	\$ 64,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 37.32	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 41.53
C	WG	13	\$ 52,500	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 30.61	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 34.83
C	WG	12	\$ 47,100	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 27.46	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 31.68

Category	Pay Grade Cat	Pay Grade Level	ANNUAL RATES						Estimated Hourly Rates					
			P&A Costs	AFC20	AFC30	AFC56	AFC57	Availability Hours	P&A Costs	AFC20	AFC30	AFC56	AFC57	Avg. Hourly Cost
C	WG	11	\$ 46,100	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 26.88	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 31.10
C	WG	10	\$ 44,200	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 25.77	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 29.99
C	WG	9	\$ 43,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 25.07	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 29.29
C	WG	8	\$ 41,200	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 24.02	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 28.24
C	WG	7	\$ 38,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 22.16	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 26.38
C	WG	6	\$ 37,800	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 22.04	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 26.26
C	WG	5	\$ 37,100	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 21.63	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 25.85
C	WG	4	\$ 35,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 20.41	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 24.63
C	WG	3	\$ 34,300	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 20.00	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 24.22
C	WG	2	\$ 29,300	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 17.08	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 21.30
C	WG	1	\$ 27,700	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 16.15	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 20.37
C	ES	3	\$ 136,000	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 79.30	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 83.51
C	AL	2	\$ 131,500	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 76.67	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 80.89
C	AL	3	\$ 126,400	\$ 239	\$ 3,257	\$ 656	\$ 3,084	\$ 1,715.10	\$ 73.70	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 77.92
R	O	8	\$ 9,551	\$ 880	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 35.64	\$ 3.28	\$ 1.37	\$ 0.84	\$ 1.15	\$ 42.28
R	O	7	\$ 8,354	\$ 880	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 31.17	\$ 3.28	\$ 1.37	\$ 0.84	\$ 1.15	\$ 37.82
R	O	6	\$ 7,036	\$ 880	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 26.25	\$ 3.28	\$ 1.37	\$ 0.84	\$ 1.15	\$ 32.90
R	O	5	\$ 6,091	\$ 935	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 22.73	\$ 3.49	\$ 1.37	\$ 0.84	\$ 1.15	\$ 29.58
R	O	4	\$ 5,296	\$ 1,011	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 19.76	\$ 3.77	\$ 1.37	\$ 0.84	\$ 1.15	\$ 26.89
R	O	3	\$ 4,683	\$ 812	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 17.47	\$ 3.03	\$ 1.37	\$ 0.84	\$ 1.15	\$ 23.87
R	O	2	\$ 3,694	\$ 484	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 13.78	\$ 1.81	\$ 1.37	\$ 0.84	\$ 1.15	\$ 18.95
R	O	1	\$ 2,880	\$ 246	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 10.75	\$ 0.92	\$ 1.37	\$ 0.84	\$ 1.15	\$ 15.03
R	O	3E	\$ 4,872	\$ 812	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 18.18	\$ 3.03	\$ 1.37	\$ 0.84	\$ 1.15	\$ 24.57
R	O	2E	\$ 4,020	\$ 484	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 15.00	\$ 1.81	\$ 1.37	\$ 0.84	\$ 1.15	\$ 20.17
R	O	1E	\$ 3,243	\$ 246	\$ 367	\$ 226	\$ 308	\$ 268.00	\$ 12.10	\$ 0.92	\$ 1.37	\$ 0.84	\$ 1.15	\$ 16.38
R	W	4	\$ 4,670	\$ 792	\$ 367	\$ 151	\$ 308	\$ 268.00	\$ 17.43	\$ 2.96	\$ 1.37	\$ 0.56	\$ 1.15	\$ 23.47
R	W	3	\$ 4,009	\$ 792	\$ 367	\$ 151	\$ 308	\$ 268.00	\$ 14.96	\$ 2.96	\$ 1.37	\$ 0.56	\$ 1.15	\$ 21.00
R	W	2	\$ 3,597	\$ 792	\$ 367	\$ 151	\$ 308	\$ 268.00	\$ 13.42	\$ 2.96	\$ 1.37	\$ 0.56	\$ 1.15	\$ 19.46

Category	Pay Grade Cat	Pay Grade Level	ANNUAL RATES						Estimated Hourly Rates					
			P&A Costs	AFC20	AFC30	AFC56	AFC57	Availability Hours	P&A Costs	AFC20	AFC30	AFC56	AFC57	Avg. Hourly Cost
R	E	9	\$ 4,370	\$ 787	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 16.31	\$ 2.93	\$ 1.30	\$ 0.38	\$ 1.15	\$ 22.08
R	E	8	\$ 3,742	\$ 675	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 13.96	\$ 2.52	\$ 1.30	\$ 0.38	\$ 1.15	\$ 19.32
R	E	7	\$ 3,149	\$ 660	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 11.75	\$ 2.46	\$ 1.30	\$ 0.38	\$ 1.15	\$ 17.04
R	E	6	\$ 2,716	\$ 652	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 10.13	\$ 2.43	\$ 1.30	\$ 0.38	\$ 1.15	\$ 15.40
R	E	5	\$ 2,355	\$ 534	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 8.79	\$ 1.99	\$ 1.30	\$ 0.38	\$ 1.15	\$ 13.61
R	E	4	\$ 1,996	\$ 358	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 7.45	\$ 1.34	\$ 1.30	\$ 0.38	\$ 1.15	\$ 11.62
R	E	3	\$ 1,698	\$ 256	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 6.34	\$ 0.96	\$ 1.30	\$ 0.38	\$ 1.15	\$ 10.13
R	E	2	\$ 1,459	\$ 157	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 5.44	\$ 0.59	\$ 1.30	\$ 0.38	\$ 1.15	\$ 8.86
R	E	1	\$ 1,586	\$ -	\$ 348	\$ 103	\$ 308	\$ 268.00	\$ 5.92	\$ -	\$ 1.30	\$ 0.38	\$ 1.15	\$ 8.75

Notes:

1. FY97 personnel support costs for aviation training were \$5,348 + \$61,523 in AFC56. These cost factors have not been included here in order to simplify the analysis. It should be noted, however, that only the active and civilian components actively serve the staffing needs of Coast Guard aviation.
2. Reserve P&A Costs were estimated as the (1) sum of average IDT drill pay and (2) ADT-AT pay (calculated by deriving a daily rate of active component base pay and multiplying by 12.5 days of active duty).
3. Reserve PSCs were estimated at 10% of the active component PSC.

Appendix V - Sample Value Model (with Prototype Unit Survey Template)

NOTE: Auxiliary cost data were not available for this paper, and are cited as \$0 in this appendix.

Requester:	CG ACTIVITIES EMERYVILLE, CA	Current Date: 24-Aug-01	Date(s) Required: 01-07-Jun-98
Mission:	Safety zone enforcement - FREEDOM GAMES 99		
Location:	Blevitzky Marine Terminal Alameda, CA 94501		

Description of Duties/Skills Required			
Position:	<u>Coxswain for 3-member screen vessel; 6 hour on-scene patrols daily to support power boat races.</u>		
Law Enforcement Authority (Y/N) - Required:	Preferred:		
Military Status (Y/N) - Required:	Preferred:		
Required:	Skill 1:	Qualified coxswain - any platform.	
Preferred:	Skill 2:	Weapons proficiency (pistol)	
	Skill 3:	Law enforcement boarding officer (HL qual code).	
Other Needs:	<u>Prefer equivalent of E-4 to E-5.</u> <u>Having a qualified coxswain is slightly more important than all the other preferred skills combined.</u> <u>Current HL-qual code very strongly preferred, but holding the qual is sufficient.</u>		

Command-determined weighting scheme:

Cost:	20%	Capability:	40%	Availability:	40%
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Component	Cost: The hourly cost incurred by using labor from the component (by SPC category).						Capability: The component, as structured, provides the required skill area (1=Yes, 0=No)					Availability: Qualified individuals from the component can perform duty.		
	Hourly P&A Cost	Hourly PCS & Transportation Cost	Hourly Operational Expenses	Hourly Training Cost	Hourly Medical Costs	Total Hourly Cost	Law enforcement authority (preferred)	UCMJ authority (preferred)	Skill 1 = Coxswain, any 3-member platform (required)	Skill 2 = Pistol qualification (preferred)	Skill 3 = Boarding officer (HL) (preferred)	Lapse (months) before a qualified person can be identified.	Time on station for duty (6 hours per day)	Number required to sustain coverage
	Raw Scores													
Active	\$ 18.20	\$ 3.07	\$ 2.00	\$ 0.59	\$ 1.77	\$ 25.64	1.00	1.00	1.00	1.00	1.00	0.10	6.00	1.00
Reserve	\$ 8.79	\$ 1.99	\$ 1.30	\$ 0.38	\$ 1.15	\$ 13.61	1.00	1.00	1.00	1.00	0.50	0.46	6.00	1.00
Civilian	\$ 18.66	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 22.88	1.00	0.00	0.00	1.00	0.00	36.00	6.00	1.40
Auxiliary	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.00	0.00	1.00	0.00	0.00	0.46	6.00	3.00
	Normalized Scores													
Active	0.02	0.00	0.00	0.00	0.01	0.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
Reserve	0.53	0.35	0.35	0.35	0.36	0.47	1.00	1.00	1.00	1.00	0.50	0.99	1.00	1.00
Civilian	0.00	0.95	0.05	0.35	0.00	0.11	1.00	0.00	0.00	1.00	0.00	0.00	1.00	0.80
Auxiliary	1.00	1.00	1.00	1.00	1.00	1.00	0.00	0.00	1.00	0.00	0.00	0.99	1.00	0.00
Ratings	n/a						1.00	1.00	6.00	1.00	3.00	1.00	1.00	1.00
	Criterion and Attribute Weights													
	20.00%	40.00 %						40.00%						
		8.33%	8.33%	50.00%	8.33%	25.00%	33.33%	33.33%	33.33%					
	20.00%	3.33%	3.33%	20.00%	3.33%	10.00%	13.33%	13.33%	13.33%					

Active	0.80
Reserve	0.84
Civilian	0.33
Auxiliary	0.67

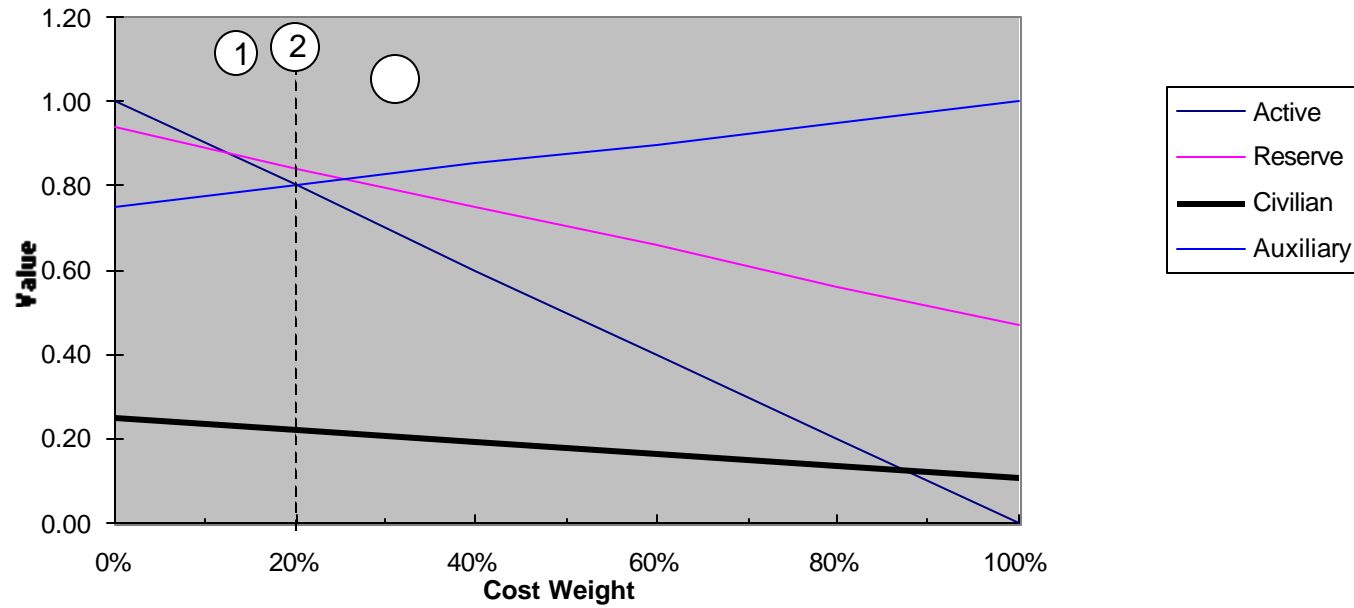
Skill 1 weighted as much as all other attributes combined, in accordance with commander's comments on questionnaire

Skill 3 strongly preferred, but not as much as Skill 1. Note that active is current for the HL qual, where Reserve (in this case) may not be current

SENSITIVITY ANALYSIS: VARYING COST (with CAPABILITY and AVAILABILITY held constant)

<div> <div>Base Case:</div> <div> <div>Cost: 20.00%</div> <div>Capability: 40.00%</div> <div>Availability: 40.00%</div> </div> <div>Test Weight:</div> <div> <div>55%</div> <div>Adjusted: 22.50%</div> <div>Adjusted 22.50%</div> </div> </div>														
Component	Cost: The hourly cost incurred by using labor from the component (by SPC category).						Capability: The component, as structured, provides the required skill area (1=Yes, 0=No)					Availability: Qualified individuals from the component can perform duty.		
	Hourly P&A Cost	Hourly PCS & Transportation Cost	Hourly Operational Expenses	Hourly Training Cost	Hourly Medical Costs	Total Hourly Cost	Law enforcement authority (preferred)	UCMJ authority (preferred)	Skill 1 = Coxswain, any 3-member platform (required)	Skill 2 = Pistol qualification (preferred)	Skill 3 = Rifle qualification (preferred)	Lapse (months) before a qualified person can be identified.	Time on station for duty (6 hours per day)	Number required to sustain coverage
	Raw Scores													
Active	\$ 18.20	\$ 3.07	\$ 2.00	\$ 0.59	\$ 1.77	\$ 25.64	1.00	1.00	1.00	1.00	1.00	0.10	6.00	1.00
Reserve	\$ 8.79	\$ 1.99	\$ 1.30	\$ 0.38	\$ 1.15	\$ 13.61	1.00	1.00	1.00	1.00	0.50	0.46	6.00	1.00
Civilian	\$ 18.66	\$ 0.14	\$ 1.90	\$ 0.38	\$ 1.80	\$ 22.88	1.00	0.00	0.00	1.00	0.00	36.00	6.00	1.40
Auxiliary	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.00	0.00	1.00	0.00	0.00	0.46	6.00	1.00
	Normalized Scores													
Active	0.02	0.00	0.00	0.00	0.01	0.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00
Reserve	0.53	0.35	0.35	0.35	0.36	0.47	1.00	1.00	1.00	1.00	0.50	0.99	1.00	1.00
Civilian	0.00	0.95	0.05	0.35	0.00	0.11	1.00	0.00	0.00	1.00	0.00	0.00	1.00	0.00
Auxiliary	1.00	1.00	1.00	1.00	1.00	1.00	0.00	0.00	1.00	0.00	0.00	0.99	1.00	1.00
Ratings	n/a						1.00	1.00	6.00	1.00	3.00	1.00	1.00	1.00
	Criterion and Attribute Weights (%)													
						55.00%	22.50%					22.50%		
Active 0.45							8.33%	8.33%	50.00%	8.33%	25.00%	33.33%	33.33%	33.33%
Reserve 0.68						55.00%	1.88%	1.88%	11.25%	1.88%	5.63%	7.50%	7.50%	7.50%
Civilian 0.17														
Auxiliary 0.89														

Sensitivity Analysis Results: Varying Cost Weight
(with CAPABILITY and AVAILABILITY held constant)



Note:

1. The Reserve becomes the preferred alternative to the active component. The active alternative is the most sensitive to cost in this staffing example.
2. At 20% weighting for COST, the Reserve alternative is preferred to all other staffing alternatives.
3. When COST assumes weights higher than 30%, the Auxiliary becomes the preferred staffing alternative.

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